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Office of the Secretary

Preliminary Statement

1. General Statement of Routine Uses.

Routine Use--Law Enforcement

In the event that a system of records maintained by this Department to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Routine Use--Disclosure When Requesting Information

A record from a system of records maintained by this Department may be disclosed as a routine use of a federal, state, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

Routine Use--Disclosure or Requested Information

A record from a system of records maintained by this Department may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

Routine Use--Disclosure to OMB

The information contained in a system of records will be disclosed to the Office of Management and Budget in connection with review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular, and for the purpose of evaluating the Department's credit and debt collection activities to further the goal of the President's Management Improvement Council.

Routine Use--Disclosure Pursuant to Congressional Inquiry

Disclosures may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-1

System name: Accidents, Employees and/or Government Vehicles.

System location: Most Department Offices, including the Headquarters Office. For a complete listing of these officers, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD employees in on-the-job accidents, including accidents involving official use of motor vehicles.

Categories of records in the system: Details of how accidents occurred and injuries were sustained; employees' absences due to injuries and resultant claims; and property damage incurred.

Authority for maintenance of the system: Occupational Safety and Health Act of 1970, Pub.L. 91-596.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses; the records are used by the Department of Labor when personal injury occurs and/or compensations is involved. GSA uses the records when accidents involve motor vehicles and the repair of those vehicles.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders.

Retrievability: Subject name.

Safeguards: The systems records are kept in lockable file cabinets, desks, and in locked rooms.

Retention and disposal: Procedural disposal follows: HUD Handbook General Records Schedule.

System manager(s) and address: Director, Policy Evaluation and Special Projects Division, Office of Administrative Services, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A, (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject individual and supervisor, Federal Government agencies; law enforcement agencies; current or previous employers; accident investigation officers.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-2

System name: Accounting Records.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Mortgagors; mortgagees; grant/project and loan applicants and recipients; HUD personnel; vendors; brokers; bidders; managers; tenants; individuals within Disaster Assistance Programs: builders, developers, contractors, and appraisers; individuals writing to the Department; employees on HUD/FHA projects; investors; subjects of audits; closing agents; former mortgagors and purchasers of HUD-owned properties; manufactured (mobile) home and home improvement loan debtors who are delinquent or in default on their loans; and, rehabilitation loan debtors who are delinquent or in default on their loans.

Categories of records in the system:

Lease and collection register; schedules of payments receivable and received; premiums due; claims files and fee billing statements; escrow and Certificates of Deposit files; cash flow and budget control files; earnest money register; purchase order log; imprest fund; Field managers' accounting records: Restitution, maintenance, and market expresses; distributive shares records; salary; savings bonds; bills of lading; vouchers; invoices; receipts; cancelled checks; mortgages, builders' and contractors' financial statements, records and audit reports; requests for termination for home mortgage insurance; deposit and receipt records; detailed accounting reports concerning diversified payments, disbursements, and cancelled checks; repurchases of mortgages; adjustments from recoveries, manual adjustments, and defaults; acquired home property records; sales closing papers; statement of accounts; tax records; notes; records of claims and chargeoffs; repayment agreements; credit reports; financial statements; records of foreclosures; and, collection and field reports.

Authority for maintenance of the system:

Sec. 113 of the Budget and Accounting Act of 1950 31 U.S.C. 66a. (Pub. L. 81-784).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

(a) To the U.S. Treasury--for disbursements and adjustments thereof.

(b) To the Internal Revenue Service--for reporting of sales

commissions and for reporting of discharge indebtedness.

(c) To the General Accounting Office, General Services Administration, Department of Labor, Labor housing authorities, and taxing authorities--for audit, accounting and financial reference purposes.

(d) To mortgage lenders--for accounting and financial reference purposes, for verifying information provided by new loan applicants and evaluating creditworthiness.

(e) To HUD contractors--for debt and/or mortgage note servicing.

(f) To financial institutions that originated or serviced loans-

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to give notice of disposition of claims.

(g) To title insurance companies--for payment of liens.

(h) To local recording offices--for filing assignments of legal documents, satisfactions, etc.

(i) To the Defense Manpower Data Center (DMDC) of the Department of Defense and the U.S. Postal Service to conduct computer matching programs for the purpose of identifying and locating individuals who are receiving Federal salaries or benefit payments and are

delinquent

in their repayment of debts owed to the U.S. Government under

certain

programs administered by HUD in order to collect the debts under the provisions of the Debt Collection Act of 1982 (Pub. L. 97-365) by voluntary repayment, or by administrative or salary offset procedures.

(j) To any other Federal agency for the purpose of effecting administrative or salary offset procedures against a person employed by the agency or receiving or eligible to receive some benefit payments from the agency when HUD as a creditor has a claim against that person.

(k) With other agencies; such as, Departments of Agriculture, Education, Justice and Veteran Affairs, and the Small Business Administration--for use of HUD's Credit Alert Interactive Voice Response System (CAIVRS) to prescreen applicants for loans or loans guaranteed by the Federal Government to ascertain if the applicant

is

delinquent in paying a debt owed to or insured by the Government.

(l) To the Internal Revenue Service by computer matching to obtain the mailing address of a taxpayer for the purpose of locating such taxpayer to collect or to compromise a Federal claim by HUD against the taxpayer pursuant to 26 U.S.C. 6103(m)(2) and in accordance with 31 U.S.C. 3711, 3217, and 3718.

(m) To a credit reporting agency for the purpose of either
adding

to a credit history file or obtaining a credit history file on an individual for use in the administration of debt collection.

(n) To the U.S. General Accounting Office (GAO), Department of Justice, United States Attorney, or other Federal agencies for further collection action on any delinquent account when circumstances warrant.

(o) To a debt collection agency for the purpose of collection services to recover monies owned to the U.S. Government under
certain

programs or services administered by HUD.

(p) To any other Federal agency including, but not limited to
the

Internal Revenue Service (IRS) pursuant to 31 U.S.C. 3720A, for the purpose of effecting an administrative offset against the debtor for a delinquent debt owned to the U.S. Government by the debtor.

(q) To the Resolution Trust Corporation--to prescreen potential contractors for bad debts prior to acquiring their services.

(r) To other Federal Agencies--for the purpose of debt collection.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made from the record system to

consumer reporting agencies as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966,

31 U.S.C. 3701(a)(3)). The disclosure is limited to information necessary to establish the identity of the individual, including name, address and taxpayer identification number (Social Security Number); the amount, status, and history of the claim, and the agency

or program under which the claim arose for the sole purpose of allowing the consumer reporting agency to prepare a credit report.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Desks: Safes; locked filing cabinets; central files; book cases; ledger trays and binders; tables; magnetic tape/disc/drum.

Retrievability:

By Social Security number; name; case file number; schedule number; audit number; control number; receipt number; voucher number; contract number; address.

Safeguards:

Security checks, limited authorizations and access, security guards; computer records are maintained in secure areas with access limited to authorized personnel and technical restraints employed with regard to accessing the records; access to automated systems by authorized users by passwords and code identification cards.

Retention and disposal:

GSA schedules of retention and disposal; destruction after six months; transfer to either a Federal Records Center or Archives.

System manager(s) and address:

Director, Office of Finance and Accounting, Department of Housing

and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure:

For information assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location,

in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rule for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Department Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; private corporations or firms doing business with HUD; Federal and non-federal governmental agencies; HUD personnel.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-4

System name:

Fee Inspectors and Appraisers.

System location:

Home Ownership Centers in Atlanta, Denver, Philadelphia and Santa Ana.

Categories of individuals covered by the system:

Individuals who have applied to HUD for appointment as roster appraisers, and fee inspectors.

Categories of records in the system:

Applications and resumes containing personal data and qualifications for position sought; assignment logs, fees paid and appraisals made; and evaluation of qualifications and of appraisals made.

Authority for maintenance of the system:

Sections 203 and 226 of the National Housing Act, Pub. L. 73-479.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

- (a) To roster appraisers for appraisal preparation;
 - (b) To VA, mortgagors, mortgagees notice of FHA action, billing;
 - (c) To local government officials for code enforcement, health and wetlands clearance;
 - (d) To Environmental Protection Agency for environmental clearance;
 - (e) To Social Security Administration for research.
- Policies and practices for storing, retrieving, accessing,

retaining, and disposing of records in the system:

Storage:

CHUMS.

Retrievability:

Name; case file number (in some cases).

Safeguards:

Lockable file cabinets and desks.

Retention and disposal:

Primarily active information; also mixed historical and active. Social Security appraisals are historical data. Disposal in accordance with HUD Handbook 2225.6, Records Disposition Management HUD Records Schedules.

System manager(s) and address:

Director, Single Family Home Mortgage Insurance Division, HUAHM, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Notification procedure:

For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in

24 CFR part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting

contents

of records, the Privacy Act Officer at the appropriate locations. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Record source categories:

Subject individuals; references; and HUD staff.

Exemptions From certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-5

System name: Architects and Engineers.

System location: Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system: Certified architects and engineers dealing with HUD, both directly and on a consultant basis.

Categories of records in the system: Applications containing personal data and qualifications for position sought and assignment logs and fees paid.

Authority for maintenance of the system: National Housing Act, as amended, 12 U.S.C. 1702 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses Paragraph of prefatory statement. Other routine uses: To General Accounting Office--investigation and annual audit; to the U.S Forest Service, Bureau of Indian Affairs, Corps of Engineers, HHS, and Farmers Home Administration for reference and information; to builders and other individuals dealing with HUD--for planning and specifications review.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders.

Retrievability: Subject name.

Safeguards: Files are kept in file cabinets, in desks and on shelves. Access is limited by locks, by security checks, or by authorized individuals.

Retention and disposal: Most files are kept active and up-to-date. Some files are partly current and partly historical. Files are destroyed per regulation or stored at a federal records center one year after last date of commitment.

System manager(s) and address: Director, Single Family Development Division, HSSI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer,

Office

of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject individuals and references.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-10

System name:

Single Family Construction Complaints Files.

System location:

HUD Headquarters and Single Family Homeownership Centers in Atlanta, Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Mortgagors of insured single family homes that have filed construction complaints with HUD.

Categories of records in the system:

Complaints regarding construction and defects; inspection reports; records of complaint status and disposition; compliance reports; related correspondence.

Authority for maintenance of the system:

National Housing Act, as amended, 12 U.S.C. 1702 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

- (a) To complainants and attorneys representing them to review complainant files for status and information.
- (b) To the person or firm complained about for resolution of the complaint.
- (c) To the Department of Veterans Affairs or the Rural Housing Service for coordination with HUD in processing construction complaints.
- (d) To Congressional delegations to provide information concerning status of complaints.
- (e) To originating and servicing mortgagees to provide information concerning status of complaint.
- (f) To state agencies for investigation.
- (g) To the FBI to investigate possible fraud revealed in the course of the complaint review.
- (h) To Department of Justice for prosecution of fraud revealed

in

the course of complaint review.

(i) To IRS for investigation.

(j) To General Accounting Office (GAO) for audit purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders.

Retrievability:

Records are retrieved by name of subject individual; case file number, property location.

Safeguards:

Records are maintained in lockable file cabinets with access limited to authorized personnel.

Retention and disposal:

Records are partly current and partly historical; disposal is in accordance with HUD Handbook 2225.6, Records Disposition Management;

HUD Records Schedules.

System manager(s) and address:

Director, Home Mortgage Insurance Division, HUAH, Department of
Housing and Urban Development, 451 Seventh Street, SW, Washington,
DC
20410.

Notification procedure:

For information, assistance, or inquiry about existence of
records, contact the Privacy Act Officer at the appropriate
location,
in accordance with 24 CFR part 16. A list of all locations is given
in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the
individual concerned appear in 24 CFR part 16. If additional
information or assistance is required, contact the Privacy Act
Officer at the appropriate location. A list of all locations is
given
in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records
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appealing initial denials, by the individual concerned, appear in 24
CFR part 16. If additional information or assistance is needed, it
may be obtained by contacting: (i) In relation to contesting
contents
of records, the Privacy Act Officer at the appropriate location. A
list of all locations is given in Appendix A; (ii) in relation to
appeals of initial denials, the HUD Departmental Privacy Appeals
Officer, Office of General Counsel, Department of Housing and Urban
Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subjects and other individuals, builders and contractors and
their current and previous employees, credit bureaus and financial
institutions; Federal and non-Federal agencies.

Exemptions from certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-15

System name: Equal Opportunity Housing Complaints.

System location:

Housing discrimination files are located at the office where
originated and may also be transferred to associated area and/or
regional offices, or the Headquarters Office. Additionally, closed
files from this system may be temporarily located in a HUD
contractor's office during a period of program evaluation. For a
listing of HUD's offices with addresses see Appendix A.

Categories of individuals covered by the system:

Individuals filing housing discrimination complaints. Does not
include files on HUD employee complaints regarding their employment.

Notices regarding these inquiries under the Privacy Act are published

by the U.S. Civil Service Commission.

Categories of records in the system:

Allegations of housing discrimination; names of complainant and persons or organizations complained about; investigation information;

details of discrimination cases; compliance reviews; complaints under

Titles VI, VIII and IX; conciliation files; correspondence; affidavits; complaints status reports. In mortgage discrimination cases, records include mortgage applications, credit reports and verification of income, employment and bank deposits.

Authority for maintenance of the system:

Title VIII of the Civil Rights Act of 1978, sec. 810(a); 42 U.S.C. 3610(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine

uses: To state and local government EO concerned agencies, the U.S. Department of Justice (including the FBI), the U.S. Department of Labor (including the Office of Federal Contract Compliance), U.S. Courts, the Veterans Administration, the Farmers Home Administration,

complainants, respondents and attorneys--for investigation, preparing

litigation, and monitoring compliance, to HUD contractor--for program evaluation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records kept in lockable desks and file cabinets and magnetic tape/disc/ drum.

Retrievability:

Usually retrievable by name of complainant and, in some instances, by case file number.

Safeguards:

Manual records are stored in lockable file cabinets; computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal:

HUD handbooks establish procedures for retention and disposition of records. Generally retained for two years, then transferred to Federal Records Centers for an additional five years.

System manager(s) and address:

Director, Office of Fair Housing Enforcement and Section 3 Compliance, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location,

in accordance with 24 CFR part 16. A list of all locations is given

in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appears in 24

CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject and other individuals, Federal and non-federal government

agencies, law enforcement agencies, credit bureaus, financial institutions, current and previous employers, corporations or firms, EO counselors and witnesses.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(2), all investigatory material, including conciliation files, in records contained in this system which meet the criteria of these sub-sections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a (c)(3),

(d), (e)(1), (e)(4), (G), (H), and (I), and (f) of the agency regulations in order for the Department's Fair Housing and Equal Opportunity and legal staffs to perform their functions properly.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-20

System name:

Single Family Homeownership Assistance Application and Recertification.

System location:

HUD Headquarters.

Categories of individuals covered by the system:

Participants in Section 235 Homeownership Assistance Program.

Categories of records in the system:

Files contain identifying information about mortgagors, such as name, social security number, and address as well as information on income, assets, and family composition required to determine subsidy payment.

Authority for maintenance of the system:

National Housing Act of 1934, Sec. 235(a)(f)(as amended by sec. 101 of the Housing and Urban Development Act of 1968), 12 U.S.C. 1715z.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

(a) To the servicing mortgagee to give notice of miscalculations or other errors in subsidy computation.

(b) To IRS to report subsidy amounts as income.

(c) To title insurance companies or financial institutions for payoff figures.

(d) To the FBI to investigate possible fraud revealed in the course of servicing efforts.

(e) To Department of Justice for prosecution of fraud revealed in the course of servicing efforts and for the institution of suit or other proceedings to effect collections.

(f) To General Accounting Office for audit purposes.

(g) To welfare agencies for fraud investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in case files and on magnetic tape/disc/drum.

Retreivability:

Manual records are retrieved by case file number; automated records are retrieved by case file number, mortgagor name and social security number.

Safeguards:

Computer facilities are secured and accessible only by authorized

personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal:

Records system is active and kept up-to-date.

System manager(s) and address:

Director, Program Accounting Division, FBBP, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned, appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at Headquarters. The location is given in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed it may

be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Department Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Mortgagors' applications and recertifications of income.

Exemptions from certain provisions of the Act:

None. Retention and

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-22

System name: Housing Counseling.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A. In addition to these offices, HUD-approved counseling agencies in many cities, both voluntary and paid by the Department, maintain files of this type.

To

determine whether such an agency exists in a particular city, contact

the nearest HUD field office shown in appendix A.

Categories of individuals covered by the system:

This system contains records of individuals who have been referred but not counseled; individuals who have been or are receiving counseling and assistance with housing problems and related

family and financial problems, as well as individuals seeking general

and consumer information.

Categories of records in the system:

This system contains records of dates of counseling, summaries of

aid furnished the individual being counseled, correspondence with or on behalf of the individual being counseled, standard forms, letters and reports, purchase and financial data, medical history,

employment

information and problems, family composition, referral information and specific family and/or individual problems.

Authority for maintenance of the system:

Section 106(a) of the 1968 Housing Act; 12 U.S.C. 1701x.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine

uses: to HUD-approved counseling agency staff for the purpose of providing supportive counseling services to meet the short and long term needs of the individual being counseled. Financial institutions servicing HUD insured or assisted loans; local housing authorities;

rental agents and managers; real estate brokers, agents and creditors have access only to current financial, employment and family composition data regarding persons currently being counseled. Data available to these institutions and individuals in such circumstances is limited to: Savings/checking/credit union account records, commercial credit reports, and credit account records with utility companies, retail stores, and other commercial credit sources; specific employment information concerning name and address of employer, length of service, and salary; and family composition data through the authorized counseling agency or HUD staff. Community service agencies to which the individual being counseled is referred for additional supportive services have limited access to information appropriate to the reason for referral only through authorized counseling agency staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are stored in paper files which are kept in standard lockable file cabinets and desks.

Retrievability:

Records are retrievable by name, case number, or property address.

Safeguards:

During the counseling process and the retention period, records are maintained in confidential files with access limited to those whose official duties require access.

Retention and disposal:

Counseling records are maintained by the counseling agency for as long as the individual being counseled participates in the program and up to five (5) years thereafter. The Department may maintain summary records of the counseling for as long as the individual being counseled lives in HUD-insured or assisted property.

System manager(s) and address:

Director, Single Family Loan Servicing Division, HSSL
Department of Housing and Urban Development
451 Seventh Street, SW
Washington, DC 20410

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officers, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Information in this system of records is: (1) Supplied directly by the individual, and/or (2) supplied by a member of the individual's family, and/or (3) supplied by mortgages, employers (past and present), creditors and credit reports, landlords (both public and private) and/or (4) supplied by sources to whom the individual being counseled has been referred, or has gone to for assistance, and/or (5) derived from information supplied by the individual, and/or (6) supplied by Department officials and/or (7) supplied by program counselors

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-23

System name: Single-Family Research Files.

System location: Headquarters Office.

Categories of individuals covered by the system: Single-family mortgagors.

Categories of records in the system: Sample of single-family home cases for most recent five-year period.

Authority for maintenance of the system: National Housing Act of 1934 (Pub.L. 73-479), Sec. 209.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape/disc/drum.

Retrievability: Name; case file number; property address.

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area.

Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address: Chief, Single Family Insured Branch,

Management Information Systems Division, HAI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the

Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at Headquarters. This location is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject individuals; financial institutions; federal government agencies.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-24

System name: Investigation Files.

System location:

Headquarters.

Categories of individuals covered by the system:

HUD program participants and HUD employees involved in matters under Office of Inspector General cognizance, and HUD investigators.

Categories of records in the system:

Manual Files contain information concerning investigation of alleged irregularities in connection with HUD programs and include initial complaints filed against subject alleging violations,

reports

of investigation, findings of HUD officials, and recommendations and dispositions to be made. Manual and automated files contain case

file

number, status and disposition, investigator name and number, and staff hour usage.

Authority for maintenance of the system:

Inspector General Act of 1978, Pub. L. 95-452.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Use paragraphs in prefatory statement. Other routine uses: To Department of Labor--for investigative research; as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained; or for related personnel management functions or manpower studies. Files

may

also be used to respond to general request for statistical

information (without personal identification of individuals) under the Freedom of Information Act, or to locate specific individuals for

personnel research or other personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. The automated portion of the system is stored on magnetic tape/disc/drum.

Retrievability:

Manual records can be retrieved by name, investigation file number, case number; manual records containing investigator time accounting information can be retrieved by investigator name and investigator number. Information in automated records can be retrieved by case file number, investigator name, investigator number, and subject name.

Safeguards:

Manual Records are maintained in locked file cabinets or in metal

file cabinets in secured rooms or premises with access limited to those persons whose official duties require access. Computer terminals are secured in controlled areas which are locked when unoccupied. Access to automated files is limited to authorized personnel who must use a password system to gain access.

Retention and disposal:

Records are primarily active; however, records are destroyed in conformance with Records Schedule 28 (Investigation Records), Appendix 28, HUD Handbook 2225.6.

System manager(s) and address:

Director, Administrative Support Staff, Office of the Inspector General, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting (i) in relation to contesting contents of records, the Privacy Act Officer at the Headquarters location, which is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals; other individuals; current or previous employers; credit bureau; financial institutions; corporations or firms; law enforcement agencies.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(2) and (k)(5), all investigatory material in the record which meets the criteria of these subsections

is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f) of the agency regulations in order for the Department's legal staff to perform its function properly.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-25

System name: Legal Actions Files.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Litigants; potential and past claimants against the government.

Categories of records in the system:

Threatened, pending and past litigation involving HUD as a party;

summons; writs; indictments; pleadings; decisions; legal memoranda; litigation reports; deposition; deficiencies on court judgments; notices of levy; settlement negotiations; legal rulings; claims against the government; employee claims.

Authority for maintenance of the system:

42 U.S.C 3533; 42 U.S.C. 3535.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine

uses: To Justice Department--information for purposes of litigation, and representation of HUD before the courts and performance of all legal work incident thereto; to HHS--for investigation and litigation; to IRS--for investigation, litigation and collection of levies; to Local Housing Authorities--for investigation and litigation; to local governments--for investigation and litigation; to parties to litigation--to provide status and facts in

litigations;

to private individuals and corporations--to assist co-defendants or to provide documents and information as required by the Federal

Rules

or Civil Procedure; various uses under the Freedom of Information Act; to other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset. Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets.

Retrievability:

Name, case names; case numbers assigned by courts.

Safeguards:

Records maintained in locked and lockable metal file cabinets with access limited to authorized personnel.

Retention and disposal:

Files are partly active and partly historical; disposal in accordance with HUD Handbook.

System manager(s) and address:

Director, Administrative Services Staff, Office of General Counsel, GA, Department of Housing and Urban Development, 451

Seventh

Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individuals concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals; other individuals; current or previous employers; financial institutions; firms and corporations; Federal government agencies; non-Federal government agencies; and Federal, state, and local courts.

Systems exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(2) and (k)(5), all investigatory material in the record which meets the criteria of these subsections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(3), (d), (e)(1), (e)(4)(G), (H), and (I) and (f) of the agency regulations in order for the Department's legal staff to perform its functions properly.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-28

System name: Property Improvement and Manufactured (Mobile) Home
Loans--Default.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Manufactured (mobile) home and home improvement loan debtors who are delinquent or in default on their loans.

Categories of records in the system:

Names, credit applications, Social Security Number where available, case histories of borrowers; records of payment; financing statements; notes; mortgages and other evidences of indebtedness; delinquent and defaulted loan records and account cards; collection and field reports; records of claims and chargeoffs; creditor requests for collection assistance; justifications for closing collection action; related correspondence and documents.

Authority for maintenance of the system:

Title I, Sec. 2, National Housing Act, 12 U.S.C. 1703; Federal Claims Collection Act of 1966 (Sec. 1, Pub. L 89-506).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

(a) To the Department of Justice for prosecution of fraud in the course of claims collection efforts and for the institution of suit or other proceedings to effect collection of claims.

(b) To the FBI to investigate possible fraud revealed in the course of claims collection efforts.

(c) General Accounting Office for audit purposes.

(d) Private employers and Federal agencies to facilitate collection of claims against employees.

(e) Office of Personnel Management for offsetting retirement payments.

(f) Consumer reporting and commercial credit agencies to facilitate claims collection consistent with Federal Claims Collection Standards, 4 CFR 102.4.

(g) To financial institutions that originated or serviced loans to give notice of disposition of claims.

(h) To title insurance companies for payment of liens.

(i) To local recording offices for filing assignments of legal documents, satisfactions, etc.

(j) To bankruptcy courts for filing of proofs of claim.

(k) To HUD contractors for debt servicing.

(l) To state motor vehicle agencies and Internal Revenue Service to obtain current addresses of debtors.

(m) To prospective purchasers--for sale of mortgages, loans, or insurance premiums or charges.

(n) To other Federal agencies--for the purpose of debt collection.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1698a(f) or the Federal Claims Collection Act of 1966, 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and on magnetic tape/disc/drum.

Retrievability:

Claim number, name or other identification number.

Safeguards:

Manual files are kept in lockable cabinets or rooms; automated records are maintained in secured areas. Access to either type of record is limited to authorized personnel.

Retention and disposal:

Files are partly active and partly historical and are disposed of in accordance with HUD Handbook 2225.6, Records Disposition Management: HUD Records Schedules.

System manager(s) and address:

Director, Office of Title I Insured Loans, HSI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individual; current and previous employers; credit bureaus; financial institutions; business firms; federal and non-federal agencies; law enforcement agencies; title companies and

abstractors; bankruptcy courts.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-29

System name: Rehabilitation Grants and Loans Files.

System location:

Field offices; for a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Applicants who have applied for rehabilitation grants and loans.

Categories of records in the system:

Names of borrowers, builders, dealers and contractors; loan and grant applications and eligibility information; loan and grant documents; payment records; registration records; collection

records;

complaint records; related correspondence.

Authority for maintenance of the system:

Section 312, Housing Act of 1964, as amended (Pub. L. 88-560),

42

U.S.C. 1452(b).

Routine use of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5

U.S.C. 552a(b) of the Privacy Act, other routine uses are as

follows:

(a) To local agencies for monitoring and carrying out the program.

(b) To financial institutions--for providing supplemental rehabilitation funds.

(c) To credit reporting agencies, employers, financial institutions, and retail consumer credit grantors--for verification of employment and financial status.

(d) To Federal National Mortgage Association and loan servicers--

-

for loan servicing.

(e) To Internal Revenue Service--for reporting of discharged indebtedness.

(f) To prospective purchasers--for sale of mortgages, loans or insurance premiums or charges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and/or on magnetic tape/disc/drum.

Retrievability:

By name, property address and case file number of individual covered.

Safeguards:

Records stored in lockable file cabinets and technical restraints

are employed with regard to accessing computer files.

Retention and disposal:

Records are primarily active with some historical information; disposal is in accordance with HUD Handbook.

System manager(s) and address:

Director, Rehabilitation Management Division, Office of Urban Rehabilitation and Community Reinvestment, Community Planning and Development, Department of Housing and Urban Development, 451 Seventh

Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) In relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Financial institutions; subject and other individuals; federal and non-federal agencies; firms, current and previous employers; law enforcement agencies; credit reporting agencies.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-32

System name: Delinquent/Default/Assigned/Temporary Mortgage Assistance Payments (TMAP) Program.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses see appendix A. Office of HUD TMAP contractor will maintain some records on TMAP cases.

Categories of individuals covered by the system:

Mortgagors with HUD/FHA insured single-family mortgages that are delinquent or in default; mortgagors seeking assistance of prevent foreclosures; and mortgagors whose mortgages are held by HUD.

Categories of records in the system:

Notices of delinquent mortgages; requests for forbearance or assignment; forbearances or assignment reviews include date on mortgage amount and payments made, employment and income, financial institution names and routing numbers, mortgagor's account number, debts and expenses, reasons for delinquency, recommendations and actions on requests; credit reports; forbearance agreements; deeds of trust; and related correspondence.

Authority for maintenance of the system:

Sec. 114(a), Housing Act of 1959, (Pub. L. 86-372), 12 U.S.C. 1702 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

- (a) To FHA--for insurance investigations.
- (b) To the Internal Revenue Service and the General Accounting Office for investigations.
- (c) To state banking agencies to aid in processing mortgagor complaints.
- (d) To mortgagees--to verify information provided by new loan applicants and to evaluate credit worthiness.
- (e) To counseling agencies for counseling.
- (f) To Legal Aid--to assist mortgagors.
- (g) To HUD TMAP contractor for processing TMAP.
- (h) To other Federal agencies for the purposes of collecting debts owed to the Federal Government by administrative or salary offset.
- (i) To prospective purchasers--for sale of mortgages, loans or insurance premiums or charges.

Disclosure to consumer reporting agencies:

Disclosure pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 31 U.S.C. 3701(a)(3).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and on magnetic tapes, drums, and discs.

Retrievability:

Name; case file number, property address.

Safeguards:

Records maintained in desks and lockable file cabinets; access to automated systems is by passwords and code identification cards access limited to authorized personnel.

Retention and disposal:

Obsolete records destroyed or shipped to Federal Records Center in compliance with HUD Handbook.

System manager(s) and address:

Director, Single Family Servicing Division, HSSI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individual; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; Federal Government agencies; non-federal government (including foreign, state and local) agencies; law enforcement agencies.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-34

System name: Pay and Leave Records of Employees.

System location:

All Department offices and the Department of Agriculture's National Finance Center. For a complete listing of Department offices, with addresses, see appendix A. The address of the National Finance Center is PO Box 60000, New Orleans, LA 70160.

Categories of individuals covered by the system:

Current and separated HUD employees.

Categories of records in the system:

Name, Social Security Number and employee number, grade, step, and salary; organization, retirement or FICA data as applicable; Federal, state, and local tax deductions; regular and optional Government life insurance deduction(s), health insurance deduction and plan or code; Thrift Savings Plan participation and contribution; cash award data; jury duty data; military leave data; pay differentials; union dues deduction; allotments by type and amount;

financial institution code and employee account number; leave status and data of all types (including annual, compensatory, jury duty, maternity, military, retirement disability, sick, transferred, and without pay); time and attendance records, including sign in/sign out sheets and related documentation; leave applications and reports; individual daily time reports; adjustments to time and attendance; overtime reports, supporting data, such as medical certificates; number of regular, overtime, holiday, Sunday, and other hours worked; pay period number and ending dates; cost of living allowances; mailing address; co-owner and/or beneficiary of bonds; marital status and number of dependents; ``Notification of Personnel Actions,' ' Congressional requests or inquiries on the pay/leave problems of employees; court orders; personnel/payroll data requests; information about the problem received from the employee, an Administrative Office, or from a personnel employee, including supporting documentation; written correspondence pertaining to pay/leave problems; and related information or documentation.

Authority for maintenance of the system:
Section 7(d), Department of Housing and Urban Development Act,

42 U.S.C. 3535(d).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
See Routine Uses paragraphs in prefatory statement. Other

Routine Uses: Transmittal of data to U.S. Treasury to effect issuance of paychecks to employees and distribution of pay according to employee directions for savings bonds, allotments, financial institutions, and other authorized purposes. Annual reporting of W-2 statements to Internal Revenue Service, Social Security Administration, the individual, and taxing authorities of the States, the District of Columbia, territories, possessions, and local governments, except Social Security Numbers shall be reported only to such authorities that have satisfied the requirements set forth in section 7(a)(2)(B) of the Privacy Act of 1974. To the Office of Personnel Management concerning pay, benefits, retirement deductions, and other information necessary for the office to carry on its Governmentwide personnel functions; to other Federal agencies to facilitate employee transfers; to the Department of Labor to process workers compensation injury claims; to other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset; to the Federal Retirement Thrift Investment Board to administer the Thrift Savings Plan; to the Department of Agriculture's National Finance Center for payroll/personnel action, receipt account, time and attendance, and administrative overpayment processing; to the Department of Agriculture, Office of Inspector General, for audits of the payroll personnel system; to Federal, State, and local agencies to assist in the enforcement of child and spousal support obligations; to State governments, the District of Columbia, the Commonwealth of Puerto Rico, and the Virgin Islands to

assist in processing unemployment claims under the Unemployment Compensation for Federal Employees Program.

The names, social security numbers, home addresses, dates of birth, dates of hire, quarterly earnings, employer identifying information, and State of hire of employees may be disclosed to the Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services for the purpose of locating individuals to establish paternity, establishing and modifying orders of child support, identifying sources of income, and for other child support enforcement actions as required by the Personal Responsibility and Work Opportunity Reconciliation Act, Pub. L. 104-193).

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966, 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual, machine-readable, and magnetic media.

Retrievability:

Name of employee, Social Security Number.

Safeguards:

Physical, technical, and administrative security is maintained with all storage equipment and/or rooms locked when not in use. Admittance, when open, is restricted to authorized personnel only. All payroll personnel, computer operators, programmers, and other staff are instructed and cautioned on the confidentiality of the records. Manual files are kept in lockable desks, file cabinets, and safes.

Retention and disposal:

Retained on site until after GAO audit, then disposed of or transferred to Federal Records Storage Centers in accordance with fiscal records program approval by GAO, as appropriate, or General Record Schedules of the General Services Administration. Generally, records on employee pay/leave problems are retained in the operating office for three years after a decision has been made on the problem.

For payroll related records, the retention schedule is the same as that for employee pay and leave records. In offices not actually processing the pay/leave problem resolution, problem pay/leave records are retained for six months after a decision has been made on

the problem, and then may be disposed of.

System manager(s) and address:

Director, Personnel Systems and Payroll Division, Office of Personnel and Training, Department of Housing and Urban Development, 451 Seventh Street, Southwest, Washington, DC 20410.

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the appropriate location,

in accordance with procedures in 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contracting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location (a list of all locations is given in appendix A) and (ii)

in relation to appeals of initial denials, the Department of Housing and Urban Development Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, Southwest, Washington, DC 20410.

Record source categories:

Subject individuals; supervisors; timekeepers; official personnel records; previous employers; or other Federal Government agencies; Headquarters or Regional Office personnel responsible for solving pay/leave/time problems; National Finance Center personnel responsible for solving pay/leave/time problems; Field Office personnel who have information about pay/leave problems, banks, other financial institutions, and courts.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-37

System name: Personnel Travel System.

System location:

All Department offices maintain employee travel records. For a complete listing of offices, with addresses, see appendix A.

Categories of individuals covered by the system:

HUD personnel.

Categories of records in the system:

All travel records, including vouchers, requests, advances, receipts for requests, orders.

Authority for maintenance of the system:

Section 7(d) of the Department of Housing and Urban Development Act of 1965, Pub. L. 89-174; Budget and Accounting Act of 1950, 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine uses: To Treasury--for payment of vouchers; vouchers and receipts are available to GAO and GSA for audit purposes and vouchers are verified by private transporters; to other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and on magnetic tape/disc/drum.

Retrievability:

Almost always retrievable by name, occasionally by Social Security number.

Safeguards:

Lockable desks or file cabinets; computer records are maintained in secure areas with access limited to authorized personnel and technical restraints employed with regard to accessing the records.

Retention and disposal:

Records are active and kept up-to-date. Files purged in accordance with HUD Handbook.

System manager(s) and address:

Director, Office of Finance and Accounting, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

For Transportation Requests: Director, Office of Administrative Services, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appeared in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of record, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individual and supervisors.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-42

System name: Rent Subsidy Program Files.

System location:

Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Low-rent housing applicants and recipients under Section 236 and Rent Supplement and Section 221(d)(3) BMIR programs.

Categories of records in the system:

Applications for rent subsidy and recertifications include name, address, telephone number, race, household composition, employment data, detailed financial information, monthly rent payment and supplement calculations. HUD review and certification, description of rental unit participant will occupy; subsidized tenant move-out records; verification of employment, income and bank deposits, credit bureau reports; and related correspondence.

Authority for maintenance of the system:

Sec. 201 of the Housing and Community Development Amendments of 1978, (12 U.S.C. 1715z-1a), Sec. 101 of the Housing Act of 1965 (12 U.S.C. 1701s), and Section 101(11) of the Housing Act of 1961, (12 U.S.C. 1715L).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine

uses: to General Accounting Office--for purposes of audit: To IRS--for investigation; to local and state housing authorities--for reference purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In files, folders and on magnetic tape/disc/drum.

Retrievability:

Name; case file number.

Safeguards:

Limited access; lock file cabinets; security checks and limited authorization to secured computer facilities.

Retention and disposal:

Files are active and kept up-to-date; partly current and partly historical. Files are either sent to GSA Federal Record Center for

storage or disposed of in accordance with HUD Handbook.

System manager(s) and address:

Director, Program Planning Division, HMHO, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contacting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individual; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; federal government agencies; non-federal government agencies; project and project managers.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-43

System name:

Property Disposition Files (A43; A43C; A80S).

System location:

HUD Headquarters, HUD's Philadelphia, Atlanta, Denver and Santa Ana Homeownership Centers [HOCs] and multiple contractor sites. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system:

Mortgagors with HUD/FHA insured single family homes who have had their mortgages foreclosed and properties acquired by HUD; individuals who have had their properties acquired by the Department of Defense and transferred to HUD; single family mortgagors who defaulted on Section 312 loans and had their properties acquired by HUD; and potential buyers of HUD-held single-family properties.

Categories of records in the system:

Documents pertaining to acquisition of foreclosed HUD/FHA insured

single family homes and single family homes transferred from the Department of Defense. The documents include names, addresses, loan amounts and payments, and reasons for default; leases and rental information if properties are rented; purchasers' family characteristics, income and employment histories, credit reports, sales contracts, and settlement costs; and related correspondence.

Authority for maintenance of the system:

National Housing Act of 1937 as amended (Pub. L. 75-412).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

- (a) To IRS for auditing individual income tax returns;
- (b) To insurance companies to file claims for amounts due;
- (c) To mortgagees to review the credit of prospective

purchasers;

(d) To local public authorities to check on acquisition, reuse and sales of real estate;

(e) To real estate management and marketing contractors who are performing HUD's property disposition activities in specific geographic areas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders, disks, tapes, electronic records in multiple computer record systems. Secure records maintenance requirements are incorporated into the real estate marketing and management contracts.

Retrievability:

FHA Case number, property address, and by former mortgagor's name. Data on a current/recent purchaser of a HUD owned property.

Safeguards:

Lockable file cabinet; secured computer facilities at HUD and at the contractor's offices. There are background checks of all Contractor staff. Computer access to multiple HUD record systems is restricted by passwords, defined individual access profiles, restricted access to specified data fields. Data Transmission over secure T-1 and Shiva lines. Information about the properties is available to the public via the Internet for marketing purposes. However, information covered by the Privacy Act of 1974 and the

Right

to Financial Privacy Act (12 U.S.C. 3401) is not incorporated in any Internet site.

Retention and disposal:

Obsolete records are destroyed or sent to storage facility in accordance with HUD Handbook.

System manager(s) and address:

Director, Single Family Asset Management Division, HUAM, Office of Single Family Housing, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of

records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Record source categories:

HUD/FHA Claims for Insurance Benefits, subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; federal government agencies; non-federal (including foreign, state and local) government agencies; real estate brokers and agents.

Exemptions from certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-44

System name: Relocation Assistance Files.

System location: Headquarters and field offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system: Displaced persons and relocation claimants who have filed grievances.

Categories of records in the system: Names of relocation claimants;

family characteristics; personal and family financial data; relocation needs and problems; claims; documentation and evaluation of claims; recommendations; inquiries and grievances; responses to grievances; audits.

Authority for maintenance of the system: Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Pub. L. 91-646), Sec. 205(c)(2), 42 U.S.C. 4625.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: To GAO--for audit purposes; to the Department of Justice--for investigation and prosecution; to local public agencies--for processing, training and monitoring purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders.

Retrievability: By name and case file number of subject individual.

Safeguards: Stored in lockable file cabinets; access limited to authorized personnel.

Retention and disposal: Files are partly active and partly historical, disposal is in accordance with HUD Handbook.

System manager(s) and address: Director, Relocation and Real Estate

Division, Office of Urban Rehabilitation and Community Reinvestment Community Planning and Development, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional informational or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Department at Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject and other individuals; current and previous employers; credit bureaus and financial institutions; firms federal and non-federal agencies.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-46

System name:

Single Family Insured Case Files.

System location:

HUD Headquarters and Single Family Homeownership Centers in Atlanta, Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Individuals who have obtained a mortgage under HUD/FHA's single family mortgage insurance programs. Also, individuals who unsuccessfully applied for an insured mortgage requiring processing by HUD underwriters.

Categories of records in the system:

Files contain identifying information about applicants, such as name, Social Security Number, and current address; and records commonly used to determine the credit-worthiness of a potential borrower, such as income and employment information, and credit bureau reports. In addition, the files may contain appraisal and inspection reports, sales agreement, conditional and firm commitments, underwriting worksheets, HUD-1, mortgage note and deed of trust, insurance documents, and correspondence.

Authority for maintenance of the system:

National Housing Act as amended (12 U.S.C. 1702 et seq.)

The information collection enables HUD/FHA to process applications for HUD mortgage insurance and respond to inquiries regarding applications and insured mortgages.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act other routine uses include:

(a) To the Department of Veteran Affairs for information on veterans' participation.

(b) To complainants and attorneys representing them to review complainant files for status and information.

(c) To the person or firm complained about--for resolution of the complaint.

(d) To Congressional delegations to provide information concerning status of complaints.

(e) To the FBI to investigate possible fraud revealed in underwriting, insuring or monitoring.

(f) To Department of Justice for prosecution of fraud revealed in underwriting, insuring or monitoring.

(g) To General Accounting Office (GAO) for audit purposes.

(h) To financial institutions and computer software companies for automated underwriting, credit scoring and other risk management evaluation studies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are stored in file folders (automated systems containing data from these files are described in separate system of records notices).

Retrievability:

Records are retrieved by case file number.

Safeguards:

Insured case files are shipped to a Federal Records Center within

days of receipt at HUD for insurance endorsement processing;

retrieval is limited to authorized personnel. Rejected case files and

cases in processing are maintained in secure office space with access

limited to authorized personnel.

Retention and disposal:

Insured case files are retained for 12 years and rejected cases are retained for one year. Obsolete records are destroyed in accordance with HUD Handbook 2225.6, Records Disposition Management; HUD Records Schedules.

System manager(s) and address:

Director, Office of Insured Single Family Housing, HUA,
Department of Housing and Urban Development, 451 Seventh Street SW,
Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the appropriate location,
in accordance with 24 CFR part 16. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given
in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and
appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained
by
contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A. If additional information or assistance is needed in relation to appeals of initial
denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC
20410.

Record source categories:

Subject individuals, current and previous employers, credit bureaus and financial institutions, corporations and firms and federal and non-federal government agencies.

Exemptions for certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-51

System name: Standards of Conduct File.

System location: Headquarters.
Categories of individuals covered by the system: HUD employees.
Categories of records in the system: Financial statements;
statements of employment.

Authority for maintenance of the system: E.O. 11222, Sec. 305-402,
5 CFR 735.401.

Routine uses of records maintained in the system, including
categories of users and the purposes of such uses: See Routine Uses
paragraphs in prefatory statements. Other routine uses to the
Department of Justice, the Federal Bureau of Investigation, and the
Internal Revenue Service for purposes of investigation.

Policies and practices for storing, retrieving, accessing,
retaining, and disposing of records in the system:

Storage: File folders and standard forms.

Retrievability: Name.

Safeguards: Locked file cabinets.

Retention and disposal: Files are active and kept up-to-date,
partly current and partly historical.

System manager(s) and address: Assistant General Counsel for
Finance and Administrative Law Department of Housing and Urban
Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry
about existence of records, contact the Privacy Act Officer at the
headquarters location, in accordance with 24 CFR part 16. This
location is given in appendix A.

Record access procedures: The Department's rules for providing
access to records to the individual concerned appear in 24 CFR part
126. If additional information or assistance is required, contact
the

Privacy Act Officer at Headquarters. This location is given in
appendix A.

Contesting record procedures: The Department's rules for
contesting

the contents of records and appealing initial denials, by the
individual concerned, appear in 24 CFR part 16. If additional
information or assistance is needed, it may be obtained by
contacting: (i) In relation to contesting contents or records, the
Privacy Act Officer at the headquarters location. This location is
given in appendix A; (ii) in relation to appeals of initial denials,
the HUD Departmental Privacy Appeals Officer, Office of General
Counsel, Department of Housing and Urban Development, 451 Seventh
Street SW, Washington, DC 20410.

Record source categories: Subject individuals.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-52

System name: Privacy Act Requesters.

System location:

Headquarters and field offices. For a complete listing of these
offices, with addresses, see appendix A.

Categories of individuals covered by the system:

Individuals inquiring about existence of records about them, and requesting access to and correction of such records under provisions of the Privacy Act.

Categories of records in the system:

Personal identification of requester, nature of request, and disposition of the request by the Department.

Authority for maintenance of the system:

Privacy Act of 1974 (5 U.S.C. 552a(c)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Filed by case number and name of individual.

Safeguards:

Records maintained in locked and lockable file cabinets with access limited to authorized personnel.

Retention and disposal:

Records are primarily active. Inactive files are normally disposed of after a one-year period.

System manager(s) and address:

Director, Office of Information Policies and Systems, AI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

or records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-53

System name: Consumer Complaint Handling System.

System location:

Headquarters and Field Offices.

Categories of individuals covered by the system:

Any member of the public who registers a complaint with HUD, including but not limited to: Community Development Block Grant (CDBG) recipients or individuals who use facilities or services supported by CDBG money; mortgagors; mortgagees having or seeking FHA-insured mortgages; tenants in FHA/insured projects; tenants in HUD-supported Low Rent Housing Projects; employees on HUD-assisted or insured construction projects and their unions; and public interest groups. Excluded are complaints from HUD employees arising out of the administration of internal HUD policies or procedures.

Categories of records in the system:

Complaints expressing dissatisfaction with a Departmental program, policy, or service. Name of complainant and action dates.

Authority for maintenance of the system:

Housing and Community Development Act of 1974, Pub. L. 93-383.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other routine

uses: The following may receive individual records to assist in the resolution of a complaint--State and local officials; public and private counseling agencies; building associations; developers; financial institutions holding HUD-insured mortgages; Federal, State and local Consumer Affairs offices; Consumer Protection agencies; State and local real estate and planning Commissions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders, cassettes, computerized tape, disc, and drum.

Retrievability:

Control number, date of receipt, name of complainant, date of complaint, date of final reply, nature of complaints HUD program category, assigned due date, date of interim reply, date of last update on the System, and HUD Office to which complaint was referred for action.

Safeguards:

Access to the automated System is accomplished by passwords and code identification codes limited in use to authorized personnel. Cassettes and computer/data files will be stored in computer facilities which are secured and accessible only to authorized personnel. File folders of pending and closed cases to be stored in lockable file cabinets.

Retention and disposal:

Manual file is closed upon final response and purged after one

year. Automated records are maintained for five years. Complaints pending response will remain open and active until final response is sent. Obsolete records will be disposed of in accordance with HUD Handbook.

System manager(s) and address:

Assistant Secretary for Housing--Federal Housing Commissioner, Department of Housing and Urban Development 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents or records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Department Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Letters of complaints from individuals, telephone calls of complaints from individuals, and walk-in complaints from individuals, and consumer oriented agencies on behalf of individuals.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-54

System name: Parking Application Files.

System location: Headquarters.

Categories of individuals covered by the system: HUD employees and individuals from other Government agencies or private sector organizations who made application to park in HUD controlled space.

Categories of records in the system:

For the applicant and carpool members, names (print and signature), home addresses, office telephone numbers, social security numbers, year and make of vehicles, states (in which vehicles are

registered) and tag numbers; for the applicant, room number, permit number, correspondence (organization) code, date of application, and priority group (handicapped, job requirements/executive officials (SES) or carpool/vanpool); for pool members, agency or company name; for administrative purposes, date issued, type of permit (new or replacement), and signature of approving official.

Authority for maintenance of the system: Federal Property Management Regulations, Section 101-20.104, Parking facilities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other Routine Uses: To contractor for managing the parking facilities; to parking coordinators of Government agencies and private sector organizations for

verification

of employment and participation of pool.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: For manual records, legal size file folder; for automated records, hard disk.

Retrievability: Name, address, social security number, permit number, vehicle tag number, and agency name or HUD correspondence (organization) code on either the applicant or pool members. .

Safeguards: Manual records are maintained in a lockable file cabinets with access limited to authorized personnel. Access to automated records is by password.

Retention and disposal: (1) For individuals issued permits, as long as permits are valid; (2) for individuals on the waiting list, approximately 2 years.

System manager(s) and address:

Chief, Mail and Transportation Branch, Office of Administrative and Management Services, ASBR, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Office at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting; (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer,

Office

of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Parking Permit Applicants.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-56

System name: Telephone Numbers of HUD Officials.

System location: Headquarters office.

Categories of individuals covered by the system: HUD senior staff officials.

Categories of records in the system: Name, title, home and office phone numbers.

Authority for maintenance of the system: Section 7(d) Department of HUD Act (42 U.S.C. 3535(d)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine uses paragraph in prefatory statement. Other routine uses: Executive Office of the President for identification and communication with key staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Bookcase of Director, Office of Executive Secretariat.

Retrievability: Office, name, and title.

Safeguards: Records are maintained in lockable room with access limited to authorized personnel.

Retention and disposal: Records are revised as personnel and telephone numbers change. When records are revised, older records are destroyed.

System manager(s) and address: Chief, Secretary's Correspondence Unit, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about the existence of records contact the Privacy Act officer at the

headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act officer at the headquarters location. This location is given in appendix A.

Contesting record procedures: The Departments' rules for contesting

the contents of records and appealing initial denials, by the individuals concerned, appear in 24 CFR part 16. If additional information or assistance is needed it may be obtained by

contacting:

(i) In relation to contesting contents of records, the Privacy Act officer at the headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD departmental privacy appeals officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW,

Washington, DC 20410.

Record source categories: Subject individuals.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-62

System name: Claims Collection Records.

System location:

Headquarters and field offices. For a complete listing of these offices with addresses, see appendix A.

Categories of individuals covered by the system:

Mortgagors; mortgagees; grant/project and loan applicants and recipients; HUD personnel; vendors; brokers; bidders; managers; tenants; builders; developers, contractors, and appraisers; employees

on HUD/FHA projects; investors; subjects of audit; closing agents; former mortgagors and purchasers of HUD-owned properties.

Categories of records in the system:

Lease and loan collection register; schedules of payments receivable and received; premiums due; claim files; fee billing statements; escrow and Certificates of Deposit files; cash flow and budget control files; earnest money register; purchase order log; imprest fund; area managers' accounting records; restitution, maintenance, and market expenses; bills lading; vouchers; invoices; receipts mortgagors, builder's and contractor's financial statements,

records and audit reports; deposit and receipt records; disbursements

and cancelled checks; repurchases of mortgages; adjustments from recoveries, defaults, acquired home property records; sales closing papers; statements of accounts; tax records certifications and applications for assistance; and notice of court action.

Authority for maintenance of the system:

Federal Claims Collection Act of 1966 (Section 1, Pub. L. 89-508).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Users paragraphs in prefatory statement. Other routine uses; Justice Department--for prosecution of fraud revealed in the course of claims collection efforts, and for the institution of foreclosure or other proceedings to effect collection of claims; FBI--for investigation of possible fraud revealed in the course of claims collection efforts; General Accounting Office--for the institution of proceedings to effect collection of claims; other Federal Agencies--to facilitate collection of claims against Federal employees; Office of Personnel Management--for offsetting retirement payments; to commercial credit bureaus--to facilitate claims collection consistent with Federal Claims Collection Standards, 4

CFR

102.4; to other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset;

to

IRS for reporting of discharged indebtedness.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966; 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Desks; safes; locked file cabinets.

Retrievability:

Name, Social Security Number, Project Name and Number, and Contract Number.

Safeguards:

Locked files; limited access by authorized individuals.

Retention and disposal:

GSA schedules of retention and disposal; destruction one year after statute of limitation expiration.

System manager(s) and address:

Department Claims Officer, Officer of Finance and Accounting, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, Contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A, (ii) in relation to appeals of initial denials, the HUD Department Privacy Appeals Officer, Office of General Counsel. Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; private corporations or firms doing business with HUD; Federal and non-Federal government agencies; HUD personnel.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-63

System name: Secretary's Correspondence Control System.

System location: Headquarters.

Categories of individuals covered by the system: (a) Individuals who correspond with the Secretary or the Under Secretary, (b) Individuals whose correspondence has been referred by the White House, other Executive agencies, or members of Congress to the Secretary or Under Secretary for response.

Categories of records in the system: Correspondence identification (correspondent's name, address, organization, title, control number, date of letter, subject); status or response within the Department (office assigned, date due, current disposition); may include original correspondence, Department's response, referral letters, name and identification of person referring the correspondence, and copies of any enclosures.

Authority for maintenance of the system: Section 7(d) of the Department of Housing and Urban Development Act of 1965, Pub. L. 89-174.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs or prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders, on microfiche and on magnetic disc/tape.

Retrievability: Name, control number, name of person referring correspondence, return address on letters, organization name, title, date of letter, subject of letter, office assigned, date due, current disposition.

Safeguards: Manual files and microfiche are kept in folders and accessed only by authorized personnel, computer records are maintained in a secure area with access restricted to authorized personnel.

Retention and disposal: All files are maintained in the Executive Secretariat for three years and then are retained/disposed of in accordance with HUD Handbook 225.6, Schedule 62, dated March, 1976. All computerized information is maintained on magnetic disc for one year, then is copied to magnetic tape and stored in a secure location.

System manager(s) and address: Chief, Secretary's Correspondence Unit, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned, appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in Appendix A, (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject, referral source, Department employees involved in processing the correspondence.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-64

System name: Congregate Housing Services Program Data Files.

System location:

Headquarters and Offices of HUD contractor.

Categories of individuals covered by the system:

Congregate Housing Services Program (CHSP) participants and selected applicants and non-applicants residing in grantee public housing and Section 202 (elderly) projects; and selected individuals residing in non-grantee public housing and Section 202 projects.

Categories of records in the system:

The files will contain the following records on CHSP participants: Name, project, file number, race/ethnic background, birthdate, sex, marital status, residential history and current living arrangement, number of minors residing, number of children/relatives nearby and family relationships, education, socioeconomic status (occupation/income), total housing expense, characteristics (special features) of the Housing unit, size of unit, sources of income and medical coverage, handicap type, disability type, medical status (recurrent/chronic medical problems) and hospitalization in past year, scores on activities of daily living tests, level of informal service supports (family, friends, etc.), current and previous services received by program type (formal services), dates of services receipt, service needs assessment, moral scale and satisfaction with services and residential arrangements, mental status (primarily, disorientation for elderly and cognitive functioning for mentally retarded), emotional status, social interaction assessment (participation in formal and informal activities, and interpersonal skills), cost and usage of CHSP and other services, project admission date, CHSP application date, physical functioning/health status when entered project, current physical functioning/health status, physical functioning/health status of entry to CHSP, Professional Assessment Committee (PAC) determinations and recommended services, physical functioning/health status when left CHSP, date moved out of project, physical functioning/health status when moved out of project, new address/telephone (or contact person), name/telephone of physician, legal guardian, or family member.

The files will contain the following records on CHSP applicants

who were not selected as participants: Name, project, file number, race/ethnic background, birthdate, sex, marital status, resident history and current living arrangement, number of minors residing, number of children/relatives nearby and family relationships, education, socioeconomic status (occupation/income), total housing expense, characteristics (special features) of the housing unit, size of unit, sources of income and medical coverage, handicap type, disability types, medical status (recurrent/chronic medical problems) and hospitalization in past year, scores on activities of daily living tests, level of informal service supports (family, friends, etc.), current and previous services received by program type (formal services), dates of service receipt, service needs assessment, morale scale and satisfaction with services and residential arrangements, mental status (primarily, disorientation for elderly and cognitive functioning for mentally retarded), emotional status, social interaction assessment (participation in formal and informal activities, and interpersonal skills), cost and usage of services, project admission date, CHSP application date, physical functioning/health status when entered project, physical functioning/health status when applied to CHSP, current physical functioning/health status, PAC determinations, date moved out of project, physical functioning/health status when moved out of project, new address/telephone (or contract person), name/telephone of physician, legal guardian, or family member.

The files will contain the following records on residents of CHSP

projects who did not apply to the program and residents of non-CHSP projects: Name, project, file number, race/ethnic background, birthdate, sex, marital status, residential history and current living arrangement, number of minors residing, number of children/relatives nearby and family relationships, education, socioeconomic status (occupation/income), total housing expense, characteristics (special features) of the housing unit, size of unit, sources of income and medical coverage, handicap type, disability type, medical status (recurrent/chronic medical problems) and hospitalization in past year, scores on activities of daily living tests, level of informal service supports (family, friends, etc.), current and previous services received by program type (formal services), dates of service receipt, service needs assessment, morale scale and satisfaction with services and residential arrangements, mental status (primarily, disorientation for elderly and cognitive functioning for mentally retarded), emotional status, social interaction assessment (participation in formal and informal activities, and interpersonal skills), cost and usage of services, project admission date, physical functioning/health status when entered project, current physical functioning/health status, date moved out of project, physical functioning/health status when moved out of project, new address/telephone (or contact person), name/telephone of physician, legal guardian, or family member.

Authority for maintenance of the system:

Title IV, Housing and Community Development Amendments of 1978 (Congregate Housing Services Act of 1978).

Routine uses of records maintained in the system, including

categories of users and the purposes of such uses:

To HUD Contractor for conducting the evaluation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and on magnetic tape/disc/drum.

Retrievability:

Name, project, file number, race/ethnic background, birth date, sex, marital status, residential history and current living arrangement, number of minors residing, number of children/relatives nearby and family relationships, education, socioeconomic status (occupation/income), total housing expense, characteristics (special features) of the housing unit, size of unit, sources of income and medical coverage, handicap type, disability type, medical status (recurrent/chronic medical problems) and hospitalization in past year, scores on activities of daily living tests, level of informal service supports (family, friends, etc.), current and previous services received by program type (formal services), dates of service

receipt, service needs assessment, morale scale and satisfaction with

services and residential arrangements, mental status, emotional status, social interaction assessment (participation in formal and informal activities, and interpersonal skills), cost and usage of CHSP and other services, project admission date, CHSP application date, physical functioning/health status when entered project, current physical functioning/health status, physical functioning/health status at entry to CHSP, PAC determinations and recommended services, physical functioning/health status when left CHSP, date moved out of project, physical functioning/health status when moved out of project, new address/telephone (or contact person), name/telephone of physician, legal guardian, or family member.

Safeguards:

Manual files will be kept in lockable cabinets in a secured area,

computer records will be maintained in a separate secured area. Access to either type of record will be limited to authorized personnel.

Retention and disposal:

Manual and automated records are retained in accordance with officially approved mandatory standards contained in HUD Handbooks 2225.6 and 2228.2.

System manager(s) and address:

Director, Elderly, Cooperative, Congregate and Health Facilities Division, HMME

Office of Multifamily Housing Development

Department of Housing and Urban Development

451 Seventh Street, SW, Washington, DC 20410

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act

Officer at Headquarters. This location is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting

contents

of records, the Privacy Act Officer at the Headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD's Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Subject individuals, Professional Assessment Committee, Project Managers.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-65

System name: IDEAS Program Case Files.

System location: Headquarters and Field Offices.

Categories of individuals covered by the system: Federal employees who submit ideas for improving Departmental efficiency and effectiveness.

Categories of records in the system: Idea subject, suggester name, Idea number, position title of suggester, title of organization to which suggester is assigned, location of suggester's organization, suggester's room number, suggester's phone number, statement of organization responsible for implementing ideas, statement of current

use, statement of anonymity, statement of cash award waiver, agreement to waive further rights, description of Idea, Social Security Number, disposition of idea, cash award amount.

Authority for maintenance of the system: Government Employees Incentive Awards Act (45 U.S.C. 5).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To news media to publicize awards; to other Government agencies for evaluation and possible adoption; in the case of cash awards, to Treasury to issue check; to printing firms to produce award certificates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders and on magnetic media.

Retrievability: Subject, name, number, originating organization, evaluating organization, disposition.

Safeguards: Paper files are kept in lockable cabinets in secured areas. Magnetic files will be maintained in a separate secured area. Access to either type of file is limited to authorized personnel.

Retention and disposal: Manual and automated records are retained in accordance with officially approved mandatory standards contained in HUD Handbooks 2225.6 and 2228.2.

System manager(s) and address: Director, Management Systems and Organization Division, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh

Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of record, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A, (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer,

Office

of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Suggesting individual, processing organization, evaluating organization.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-66

System name: Grievance Records.

System location: Headquarters and field offices. For a complete list of these offices, with addresses, see appendix A.

Categories of individuals covered by the system: Current or former HUD employees who have submitted grievances in accordance with part 771 of OPM regulations (5 CFR part 771), HUD regulations, or a negotiated procedure.

Categories of records in the system: The system contains records relating to grievances filed by agency employees. These case files contain all documents related to the grievance, including statements of witnesses, reports of interviews and hearings, examiner's findings

and recommendations, a copy of the original and final decision, and related correspondence and exhibits. This system includes files and records of internal grievance and arbitration systems that HUD may establish through negotiations with recognized labor organizations.

Authority for maintenance of the system: 5 U.S.C. 1302, 3301, 3302,

E.O. 10577, 3 CFR 1954--1958 Comp., p. 218, EO 10987, 3 CFR 1959-1963

Comp., p. 519.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used: a. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

b. To disclose information to any source from which additional information is requested in the course of processing a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request and identify the type of information requested.

c. To disclose information to a Federal agency in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter.

d. To provide information to a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of that individual.

e. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

f. By the National Archives and Records Administration in records management inspections conducted under authority of 44 U.S.C. 2004 and 2908.

g. By the agency maintaining the records or the OPM in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some

instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

h. To disclose information to officials of the Merit Systems Protection Board, including the office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, or the Equal Employment Opportunity Commission when requested in performance of their authorized duties.

i. To disclose in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

j. To provide information to officials of labor organizations recognized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning

personnel policies, practices, and matters affecting work conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders.

Retrievability: These records are retrieved by the names of the individuals on whom they are maintained.

Safeguards: These records are maintained in lockable metal filing cabinets to which only authorized personnel have access.

Retention and disposal: These records are disposed of 3 years after closing of the case. Disposal is by shredding or burning.

System manager(s) and address: Director, Employee Relations and Equal Opportunity Division, Office of Personnel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: It is required that individuals submitting grievances be provided a copy of the record under the grievance process. However, after the action has been closed an individual may request access to the official copy of the grievance file.

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: Review of requests from individuals seeking amendment of their records which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding. The Department's rules for contesting the contents of records and appealing initial denials by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Information in this system of records is provided: a. By the individual on whom the record is maintained. b. By testimony of witnesses. c. By agency officials. d. From related correspondence from organizations or persons.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-67

System name: Employee Counseling and Occupational Health
Records.

System location: Headquarters and field offices.

Categories of individuals covered by the system: Employees seeking assistance with alcoholism, drugs or emotional problems.

Categories of records in the system: Name, duty assignment,
service

to which the employee is referred, request, status memoranda from referral services and occasionally diagnosis.

Authority for maintenance of the system: Pub. L. 79-658, Employee Health Act, 1946, Pub. L. 89-183, Mental Health Act, 1963, Pub. L. 91-616, Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act, 1970, Pub. L. 92-225, Drug Abuse Office and Treatment Act, 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To referral services to document referral, status.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Files are stored in a lockable cabinet in a secured area.

Retrievability: Name, service to which employee is referred.

Safeguards: Files will be kept in locked cabinets. Access will be strictly controlled, and limited to employees who must have access
in

order to perform their duties.

Retention and disposal: These records are disposed of in
accordance

with the mandatory General Records Schedules contained in HUD Handbook 2228.2.

System manager(s) and address: Director, Employee Relations and
EEO

Division, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Office at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for
contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the

Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. (ii) In relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office

of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject employee, referral service.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-68

System name: HUD Government Motor Vehicle Operators Records.

System location: Headquarters and field offices. For a complete listing of these offices with addresses, see appendix A.

Categories of individuals covered by the system: HUD employees who are authorized to operate Government Motor Vehicles on official business.

Categories of records in the system: Standard Form 47, Physical Fitness Inquiry for Motor Vehicle Operators and HUD Form 87, Drivers Past Performance Record. These forms include name, Social Security Number, physical fitness data, and driving performance information.

Authority for maintenance of the system: Federal Property and Administrative Services Act of 1949, 41 U.S.C. 231, Pub. L. 81-152, Sec. 201.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Department of Transportation for verification with National Driver Register.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Desks; safes; locked file cabinets.

Retrievability: Name, Social Security Number.

Safeguards: Locked files; limited access by authorized individuals.

Retention and disposal:

Records are retained and disposed of in accordance with officially approved mandatory standards contained in HUD Handbooks 2225.6 and 2282.2.

System manager(s) and address: Director, Facilities Operations Division, ASB, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the

individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed regarding contesting record contents, contact the Privacy Act Office at the appropriate location.

A list of all locations is given in aAppendix A. If additional information or assistance is needed in relation to appeals, contact the HUD Department Privacy Appeals Officer, Officer of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject individuals.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-69

System name: Intergovernmental Personnel Act Assignment Records.

System location:

Headquarters and field offices.

Categories of individuals covered by the system:

Current or former employees of State or local governments, educational institutions, Indian tribal governments, or other eligible organizations who are presently on or have completed a detail with the Department of Housing and Urban Development (HUD) under the provisions of the Intergovernmental Personnel Act (IPAP).

Categories of records in the system:

These records are comprised of a copy of the assignee's IPA agreement between HUD and a State or local government, educational institution, Indian tribal government, or other eligible organization: Resume, personal qualifications statement, and background information about the assignee(s); records of interviews with assignee(s) and any required assignment evaluations and reports;

and any documents which affect the status of the assignment such as extensions, amendments and terminations of contracts. The following data will be included in the records: Name of employee, social security number, date of birth, home address, agency employed by, job

title, name and title of immediate supervisor, office telephone number, annual salary, date employed by agency, position to which assignment will be made, type of assignment, and period of assignment.

Authority for maintenance of the system:

The Intergovernmental Personnel Act of 1970 (84 Stat. 1909), 5 U.S.C. 3371-3376, and E.O. 11589.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To the Merit System Protection Board, Federal Labor Relations Authority, and the Equal Employment Opportunity Commission when requested in performance of authorized duties. To Office of Personnel

Management for personnel inspections of the Department; to other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Individual name.

Safeguards:

Files are kept in a secured area, with access limited to authorized personnel.

Retention and disposal:

Records are retained in accordance with officially approved mandatory standards contained in HUD Handbooks 2225.6 and 2228.2.

System manager(s) and address:

Director, Employment Planning and Standards Division, Office of Personnel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A, (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

Participating individual; individual's permanent employing organization; Department personnel files and records.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-71

System name: Employee Identification File.

System location:

Headquarters and field offices.

Categories of individuals covered by the system:

Current Departmental employees, former employees who have retired from the Department, and other employees who have been separated for three months or less.

Categories of records in the system:

Categories of records in the system include employee photograph, name and signature, Social Security Number, identification card issuance date, identification card expiration date, identification card expiration date and separation date for retirees, type of appointment, date of birth, sex, height, weight, color of hair, color of eyes, and may include requisition for employee identification card.

Authority for maintenance of the system:

44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To Federal, State, local, and foreign authorities for use in conducting criminal, civil, or regulatory investigations, to verify the identity of an employee.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders or card files.

Retrievability:

By name.

Safeguards:

The records are kept in locked metal file cabinets.

Retention and disposal:

These records are retained and disposed of in accordance with approved schedules contained in HUD Handbook 2228.2, General Records Schedules.

System manager(s) and address:

Director, Office of Personnel and Training, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records of the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Individuals on whom the file is maintained.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-72

System name: Congressional Correspondence Files (Communication Control System).

System location: Headquarters and some field offices.

Categories of individuals covered by the system: (a) Individuals who correspond with the Secretary, Under Secretary, Assistant Secretary or Field Officials, (b) Individuals whose correspondence has been referred by the White House, other Executive agencies, or Members of Congress to the Secretary, Under Secretary, Assistant Secretary or Field Officials for responses.

Categories of records in the system: Correspondence identification (Member of Congress name, correspondent's name, address, state, district, organization, title, control number, return address, date of letter, subject); status of response within the Department (office

assigned, date due, current disposition); may include original correspondence, Department's response, referral letters, name and identification of person referring the correspondence, and copies of any enclosures.

Authority for maintenance of the system: Section 7(d) of the Department of Housing and Urban Development Act of 1965, Pub.L. 89-174.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders and on magnetic disc/tape.

Retrievability: State, district, control number, name of Member of Congress, name of person referring correspondence, date of letter, subject of letter, office assigned, date due, current disposition.

Safeguards: Manual files are kept in folders in lockable file cabinets and accessed only by authorized personnel, computer records

are maintained in a secure area with access restricted to authorized personnel.

Retention and disposal: All manual files are maintained for one year and then are retained/disposed of in accordance with HUD handbook 2225.6, HUD Records Schedules, Schedule 54.

All computerized information is maintained on magnetic disc for two years, then is copied to magnetic tape and stored in a secure location.

System manager(s) and address: Administrative Staff Assistant, Office of Legislation and Congressional Relations, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act

Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Department Appeals Officer, Office of General Counsel, Department of Housing and Urban Development 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject, referral source, Department employees involved in processing the correspondence.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-73

System name: Government Property on Personal Charge Files.

System location: Headquarters and field offices.

Categories of individuals covered by the system: Current or former HUD employees to whom HUD has issued government property on personal charge.

Categories of records in the system: These records are comprised of a copy of each receipt for government property on a charge, and a property receipt control register. The following data will be included in the records: Name of employee, office telephone number,

room number and location, organization symbol, custody-receipt and property pass number, description of property, certificate of receipt

and responsibility, dates of issuance, return due, follow-up, extension, and return and signature of chargeable employee.

Authority for maintenance of the system: Federal Property and Administrative Services Act of 1949, 40 U.S.C. Sec. 483.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records will be stored in card files and file folders.

Retrievability: Individual name.

Safeguards: Files are kept in a secured cabinet, with access limited to authorized personnel.

Retention and disposal: These records are disposed of in accordance

with the Mandatory General Records Schedules contained in HUD Handbook 2228.2, General Records Schedules.

System manager(s) and address: Chief, Property and Supply Branch, Facilities Operations Division, Office of Administrative Services, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy

Act

Officer at the appropriate location. A list of all locations is given

in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Department Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Individuals to whom property is charged.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-74

System name: Executive Emergency Cascade Alerting System.

System location: Headquarters and field offices.

Categories of individuals covered by the system: Current HUD employees who have been designated as executive emergency team members.

Categories of records in the system: These records are comprised of the employee's name, office and home telephone numbers, only.

Authority for maintenance of the system: These records are maintained under the authority of Executive Order No. 11490.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Individual name.

Safeguards: Distribution of team lists and access to team lists is restricted to authorized personnel.

Retention and disposal: These records are retained and disposed of in accordance with officially approved mandatory standards contained in HUD Handbooks 2225.6 (HUD Records Schedules) and 2228.2 (General Records Schedules).

System manager(s) and address: Director, Emergency Preparedness Staff, Office of Administrative Services, Department of Housing and Urban Development 451 Seventh Street, SW, Washington, DC 20410

Notification procedure: For information assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act

Officer at the appropriate location. A list of all locations is given

in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject individuals.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-75

System name: Priority Consideration/Special Reassignment Files.

System location: Headquarters and field offices.

Categories of individuals covered by the system: Current or former HUD employees who have been demoted without personal cause; who did not receive proper consideration in an earlier merit staffing action; or who are entitled to grade retention due to a demotion through no personal cause.

Categories of records in the system: These files are comprised of copies of the eligible's Personal Qualifications Statement (SF-171); the eligible's current performance evaluation, and where appropriate,

an appraisal of potential; certification of the eligible for priority

consideration/special reassignment; correspondence both from and to the eligible concerning priority consideration/special reassignment; documentation relating to non-selection of the eligible; and any other correspondence or documentation relating to the priority consideration/special reassignment process.

The following data will be included in the records: Name of employee, Social Security number, date of birth, home address, home telephone number, job title and occupational group (series), name and

title of immediate supervisor, office telephone number, annual salary, and date employed by the agency, work experience, training, and related items.

Authority for maintenance of the system: 5 U.S.C. 3301; 5 U.S.C. 5364.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Merit Systems Protection Board, the Federal Labor Relations Authority, and the Equal Opportunity Commission, when requested in performance of authorized duties for examination of effectiveness of HUD priority consideration and special reassignment procedures; to the Office of Personnel Management for personnel inspections of the Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper records in file folders.

Retrievability: Individual name and occupational grouping (series).

Safeguards: Files are kept in a secured area, with access limited to authorized personnel.

Retention and disposal: Records are retained and disposed of in accordance with officially approved mandatory standards contained in

HUD Handbooks 2225.6 (HUD Records Schedules), and 2228.2 (General Records Schedules).

System manager(s) and address: Director, Employment Planning and Standards Division, Office of Personnel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Appropriate location in accordance with 24 CFR part 16. A list of all

locations is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appeals initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy

Act

Officer at the appropriate location. A list of all locations is given

in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Participating individual; Department personnel files and records.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-76

System name: HUD Employee Locator Files.

System location:

Headquarters.

Categories of individuals covered by the system:

Current and former HUD employees.

Categories of records in the system:

These records are comprised of a copy of all Changes in Telephone

Listings, SF-146, submitted by Administrative Officers. The following

data will be included in the records: Name of employees, office telephone number, room number and location, and organization symbol.

Authority for maintenance of the system:

5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic media and file folders.

Retrievability:

Individual name.

Safeguards:

The automatic records and manual files are kept in a secured area, with access limited to authorized personnel.

Retention and disposal:

These records are disposed of in accordance with the Mandatory General Records Schedules contained in HUD Handbook 2228.2, General Records Schedules.

System manager(s) and address:

Director, Publications and Information Division, Office of Administrative Services, Department of Housing and Urban Development,
451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contracting the Privacy Act Officer at the Headquarters location. This location is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Administrative Officers.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-77

System name: Audit Planning and Operations System (APOS).

System location:

This system is located in Headquarters with regional and Headquarters data entry and access capabilities.

Categories of individuals covered by the system:

All OIG staff personnel and Independent Public Accountants (IPAs) who perform audits of HUD grantees where reports are subject to OIG review and acceptance.

Categories of records in the system:

The automated APOS contains name and ID number for OIG auditors and Independent Public Accountants (IPAs) who perform audits of HUD grantees where the audit reports are subject to OIG review and acceptance. Additionally, the APOS has records reflecting the OIG

Annual Audit Plan (AAP) and detailed assignments within the AAP staffing and time goals for each assignment; records on direct time expenditures for each task within each assignment for each OIG employee; indirect time for each employee; information reflecting the receipt, review, acceptance and audit verification of IPA audits; and direct time charges to other categories of OIG audit work such as assistance to U.S. Attorneys, complaint handling and special projects.

Authority for maintenance of the system:

OMB Circular No. A-73, Revised, dated March 15, 1978, Audit of Federal Operations and Programs; Paragraphs 7 and 7(3). Inspectors General Act 1978. Pub. L. 95-452; Section 4, Paragraph (1) and Section 5(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine uses paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and on magnetic media.

Retrievability:

Retrievability of records that refer to OIG personnel will be by HUD-OIG numbers and regional identifier. Retrieval of records that refer to Independent Public Accountants will be by the OIG designated numeric code for the IPA and regional identifier.

Safeguards:

Manual files are kept in lockable file drawers in secure areas. Technical restraints are employed with regard to accessing the automated records.

Retention and disposal:

Coded input forms will be retained for one month, and upon successful execution of program, the forms will be destroyed.

Printed

computer output forms will be retained until the next cyclical run. The system report cycles will occur monthly, quarterly, or semiannually depending on the nature of the report. Stored data within the system will be retained for three years. At the end of that period the records will be removed and maintained for two more years on tape where they will be restored to the system only as needed. At the end of a 5-year period, records will be removed from tape library and destroyed.

System manager(s) and address:

Assistant Director, Audit Operations Division, Field Operations, 451 7th Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional

information or assistance is needed, contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained

by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial

denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 24010.

Record source categories:

Subject individuals and other HUD employees. All records within the automated APOS will be developed from current existing records within Regional and Headquarters OIG sites. Time records will be reported for OIG personnel through their supervisors. IPA data will be reported by the IPA liaison groups within each OIG regional facility.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-78

System name:

Government National Mortgage Association (GNMA) Registry of Foreclosure Attorneys.

System location:

Headquarters Office.

Categories of individuals covered by the system:

Attorneys and law firms that have voluntarily submitted the information contained in the record system.

Categories of record in the system:

Name, firm name, address, and telephone numbers; death and place of bar membership; and experience in foreclosures.

Authority for maintenance of the system:

Title III, Section 309 of the National Housing Act authorizes GNMA to do the following: To enter into and perform contracts with any person or firm; to sue and be sued, and to complain and defend in any court of competent jurisdiction; to select and appoint or employ attorneys.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To GNMA services-to permit the servicer to obtain the services of a registered attorney.

Policies and practices for storing, retrieving, accessing,

retaining, and disposing of records in the system.

Storage:

Manual records stored in lockable file drawers located in lockable rooms. Access limited to authorized personnel.

Retrievability:

Name and address.

Safeguards:

Manual records stored in lockable file cabinets in secured areas.

No computer records will be maintained. Access to records is limited to authorized personnel.

Retention and disposal:

Records on attorneys are kept for at least three years.

Attorneys

must reapply within the three year period. Failure to reapply will result in deletion from the Registry.

System manager(s) and address:

Assistant General Counsel for Finance, Department of Housing and Urban Development, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained

by

contacting the Privacy Act Officer at the Headquarters location.

This

location is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-80

System name: Long Distance Telephone Call Detail System.

System location:

Headquarters.

Categories of individuals covered by the system:

Individuals who make long distance calls and individuals who receive calls placed from or charged to Department telephones.

Categories of records in the system:

Records may include: (1) The names and assigned organizations of individuals who make long distance calls from Department telephones and who receive long distance calls that are charged to Department telephones, (2) the names and addresses of called parties and

parties

who initiate collect calls from outside the Department which are charged to Department telephones, (3) records indicating assignment of telephone numbers to employees, and (4) records relating to location of telephones. Records may be maintained at worksites and used by supervisors in establishing responsibility for specific telephone calls. Subsequent inquiries may require that these records become a part of an investigation file.

Authority for maintenance of the system:

Section 7(d), Department of Housing and Urban Development Act,

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U.S.C. 3535(d); 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See Routine Use paragraphs in prefatory statement. Other routine uses: (1) To Members of Congress to respond to inquiries made on behalf of individual constituents that are record subjects; (2) to representatives of the General Services Administration or the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906; (3) in response to a request for discovery or for the appearance of a witness, to the extent that the subject matter in a pending judicial or administrative proceeding concerns the misuse of Government telephones or a violation of law or regulation; (4) in a proceeding before a court or adjudicative body to the extent that

the

records are relevant and necessary to the proceeding, and the proceeding concerns the misuse of Government telephones or a violation of law or regulation; and (5) to employees of the Department to determine their individual responsibility for

telephone

calls.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosure may be made from this system to ``consumer reporting agencies'' as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701 (a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Various portions of the system are maintained on computer disks, magnetic tape, computer printout, and other hard copy.

Retrievability:

Records are retrieved by employee name or identification number, by name of recipient of telephone call, and by telephone number.

Safeguards:

Access to records is limited to Department employees who have an

official need for the records. Internal procedures governing the use,

transfer, and photocopying of the records have been established. Records in the system are maintained in a locked room and file folders are maintained in locked cabinets. Automated records are protected from unauthorized access through password identification procedures and other system-based protection methods.

Retention and disposal:

Records are disposed of as provided in the National Archives and Records Administration General Records Schedule 12.

System manager(s) and address:

Director, Communications and Space Management Division,
Department of Housing and Urban Development, 451 Seventh Street,
Southwest, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the HUD Headquarters Privacy Act Officer in accordance with procedures in 24 CFR part 16.

Record access procedures:

The Department's rules for providing access to records to the organization or individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the HUD Headquarters Privacy Act Officer.

Contesting record procedure:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the HUD Headquarters Privacy Act Officer; (ii) in relation to appeals of initial denials, the Department of Housing and

Urban Development Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, Southwest, Washington, DC 20410.

Record source categories:

HUD telephone assignment records; call detail listing; and results of administrative inquiries relating to assignment of responsibility for placement of specific long distance calls.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-81

System name: Ethics Filings.

Security classification:

Sensitivity--S2. Disclosure or alteration of data rated S2 represents a small but unimportant risk to the organization and its mission.

Criticality--C2. Since systems rated C2 will be needed eventually, security officers should write a contingency plan. Management should attempt recover only after restoring the more

critical systems.

System location:

Headquarters, Office of Ethics.

Categories of individuals covered by the system:

Section 102

Any applicant that submits an application for assistance within the jurisdiction of the Department to HUD, to a State, or to a unit of general local government, if the applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of such assistance in excess of 200,000 dollars during the Federal fiscal year in which an application is submitted.

Section 112

A. Any person who makes or agrees to make an expenditure to influence the decision of any officer or employee of the Department, through communications with such officer or employee, with respect to: (1) The award of any financial assistance within the jurisdiction

of the Department, or (2) any management action involving a change in

the terms and conditions or status of financial assistance awarded to

any person; and,

B. Any person who receives payment or is retained for the purposes described in A. above.

Byrd Amendment

Any person who requests or receives a Federal contract, grant, loan, cooperative agreement or loan insurance or commitment from HUD and who makes a payment, or agrees to make a payment for influencing,

or attempting to influence, an officer or employee of the United States, a Member of Congress, an officer or employee of Congress, and

an employee of a Member of Congress in connection with a Federal contract, grant, loan, cooperative agreement or loan insurance or commitment from HUD.

Categories of records in the system:

The files consist of applicant information and information regarding lobbyist/consultant activity. The documents may include reporting applicant/individual/entities' or lobbyists' name, addresses, payments made, types of payments, compensation received, and services performed; officers, employees, or Members of Congress contacted; previous Government employment; type of assistance received and requested, names of project/activity participants; expected sources and uses of funds; Social Security Numbers (SSNs)

or

Employer Identification Numbers (EINs); Federal Action Numbers; payor/payee's names, addresses, dates of agreements, and estimated valuation of payments.

Authority for maintenance of the system:

Sections 102 and 112 of the HUD Reform Act of 1989, 42 U.S.C. 3545 and 3537b; the Byrd Amendment (Section 319 of the Department of Interior and Related Agencies Appropriations Act for Fiscal Year 1990, Pub. L. 101-121), 31 U.S.C. 1352; and the Housing and Community

Development Act of 1987, 42 U.S.C. 3543.

Purpose(s):

The information collected under section 102 will enable HUD to

provide public disclosure of documentation adequate to indicate how HUD and recipients of HUD assistance provided or denied the assistance to their applicants; e.g., other government assistance being requested, names and financial interest of all interested parties, and a report of expected sources and uses of funds.

The information collected under section 112 of the HUD Reform Act

and the Byrd Amendment will identify those who make an expenditure for lobbying purposes and those lobbyists and consultants who may be engaged in influencing the outcome of decisions made by the Department. This information will improve HUD's ability to assure that the award of financial assistance is conducted in a manner that is fair and open, and free from improper influence.

The system will assist the Department in complying with legislative requirements, and will ensure greater accountability and integrity in HUD's grant and loan processes.

Routine uses of records maintained in the system, including categories of users and purposes of such uses:

Section 102 information will be made available for public inspection.

Section 112 information will be compiled in a report to be published in the Federal Register, shall constitute part of the public records of the Department, and shall be open to public inspection.

The Byrd Amendment information will be compiled in a report for submission to the Secretary of the Senate and the Clerk of the House of Representatives on a semi-annual basis. The report, including the compilation, shall be available for public inspection 30 days after the receipt of the report by the Secretary and the Clerk.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders; in computers with limited access.

Retrievability:

Name of reporting individual/entity, SSN, EIN, any project number

or grant or loan number, name of person or entity in whose interest the registrant appears or works, federal action number, HUD program, and registration number.

Safeguards:

File folders and computers kept in a secured area; access restricted to authorized individuals.

Retention and disposal:

Records collected pursuant to Section 112 of the HUD Reform Act of 1989 will be retained for two years in accordance with section 13,

42 U.S.C. 3537b. Records collected pursuant to section 102 will be retained for five years in accordance with 42 U.S.C. 3545 of the HUD Reform Act of 1989. For the Byrd Amendment, records will be destroyed

in accordance with HUD Handbook 2225.6, Records Disposition Management: HUD Records Schedules.

System manager(s) and address:

Director, Office of Ethics, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about the existence of

records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the Headquarters location. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/DEPT-82

System name: ADP Security Clearance Information System.

Security classification:

Sensitivity-S3. Serious risk. Disclosure or alteration of data rated S3 could seriously threaten the organization or its mission.

Criticality-C1. Useful. The system warrants neither a specific contingency plan nor any concern during recovery.

System location:

Headquarters.

Categories of individuals covered by the system:

All current, former, and prospective HUD employees, as well as contractor personnel, assigned to sensitive positions related to ADP systems.

Categories of records in the system:

The system contains the name, social security number, position sensitivity classification, location of individual, dates and types of investigations, and dates and levels of clearances.

Authority for maintenance of the system:

Authority for maintenance of the system includes the following with any revisions or amendments: Executive Order 10450 and Executive Order 12065; and, the Housing and Community Development Act of 1987 (42 U.S.C. 3543).

Purpose(s):

The records are used for administrative reference to schedule and

control background investigations of HUD personnel, as well as contractor personnel, who have access to sensitive systems of HUD.

Routine uses of records maintained in the system, including categories of users and purposes of such uses:

See Routine Uses paragraphs in prefatory statement. Other Routine

Uses: To officials of labor organizations recognized under 5 U.S.C. Chapter 71--(1) notice of the sensitivity level of all sensitive systems, which will be updated annually; (2) lists of bargaining unit

positions designated as sensitive (provided periodically); (3) schedule of bargaining unit positions which require background investigations; (4) notice at the time an employee's access is removed from sensitive systems as a result of any adverse action;

and (5) when possible, intent to perform planned reviews of ADP security in a specific work environment.

Policies and practices for storing retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on disks, in computers with limited access, and in file folders.

Retrievability:

Records are retrieved by the name, location, or social security number of an individual.

Safeguards:

The disks, and file folders are kept in a secured area; access restricted to authorized individuals. The disks and file folders do not leave the Office of Information Policies and Systems.

Retention and disposal:

Most records are retained for one year after the individual leaves HUD and then are disposed of by erasing the disks or shredding the files.

System manager(s) and address:

ADP Security Officer, ADP Security Staff, Office of Information Policies and Systems, 451 7th Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appears in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting records procedures:

The Department's rules contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the Headquarters location,

which is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/CPD-1

System name: Rehabilitation Loans-Delinquent/Default.

System location:

Headquarters and field offices. For a complete listing of these offices, see Appendix A.

Categories of individuals covered by the system:

Rehabilitation loan debtors who are delinquent or in default on their loans.

Categories of records in the system:

Names credit applications; Social Security Number where available, loan and grant documents, including promissory note, mortgage, deed of trust, title evidence; HUD Section 312 forms and documents; statement of account; sales contract; assumption agreements; compromise agreements; subordination agreements; repayment agreements; collection history, including correspondence with borrower, servicer, and LPA; credit reports; financing statements; records of foreclosures; charge-offs; judgments on the note and deficiency judgments; creditor requests for collection assistance; insurance documents; bankruptcy records and documents; property appraisals; rehabilitation contracts; correspondence with the LPA's and related correspondence and documents.

Authority for maintenance of the system:

42 USC 1452b, Housing Act of 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

(a) Department of Justice--for prosecution of fraud revealed in the course of claims collection efforts and for the institution of suit or other proceedings to effect collection of claims.

(b) To the Federal Bureau of Investigation--for investigation of possible fraud revealed in the course of claims collection efforts.

(c) General Accounting Office--for audit purposes.

(d) To private employers and Federal agencies to facilitate collection of claims against employees.

(e) To the Office of Personnel Management--for offsetting retiring payments.

(f) To consumer reporting and commercial credit agencies to facilitate claims collection consistent with Federal Claims Collection Standards, 4 CFR 102.4.

(g) To financial institutions that serviced loans--to give notice

of disposition of claims.

(h) To local recording offices for filing assignments of legal documents, satisfactions, etc.

(i) To bankruptcy courts for filing of proofs of claim.

(j) To local agencies that service HUD Section 312

Rehabilitation

loans--to aid in the collection of delinquent loans.

(k) To counseling agencies to provide counseling and assistance in the collection of delinquent Section 312 loans in accordance with HUD/Dept-22

(l) To state motor vehicle agencies and Internal Revenue Service--to obtain current addresses of debtors.

(m) To prospective purchasers--for sale of mortgages, loans or insurance premiums or charges.

Disclosure to consumer reporting agencies:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Pursuant to 5 U.S.C. 552a(b)(12), disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1968 31 U.S.C. 3701(a)(3)).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and on magnetic tape/disc/drum.

Retrievability:

Case file (Claim) number, name or other identification number.

Safeguards:

Manual files are kept in lockable cabinets or rooms; automated records are maintained in secured areas. Access to either type of record is limited to authorized personnel.

Retention and disposal:

Records are primarily active with some historical information; disposal is in accordance with HUD Handbook 2225.6, Appendix 66.

System manager(s) and address:

Director, Rehabilitation Management Division, CRM, Office of Urban Rehabilitation, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure:

For information, assistance or inquiry about existence of records, contact the Privacy Act Officer at the appropriate

location,

in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contracting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing

and

Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals; current and previous employers; credit

bureau; financial institutions; business firms; federal and non-federal agencies; law enforcement agencies; title companies and abstractors; bankruptcy courts.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/EC-01

System name:

Compliance Case Tracking System (CCTS--F73).

System location:

HUD Computer Center, Lanham, Maryland.

Categories of individuals covered by the system:

Any individual, corporation, partnership, association, unit of government or legal entity, however organized,--except; foreign governments or foreign governmental entities, public international organizations, foreign government owned (in whole or in part) or controlled entities, and entities consisting wholly or partially to foreign governments or foreign governmental entities--proposed for debarment, suspended, debarred, or voluntarily excluded government-wide, unless otherwise noted, from Federal procurement and sales programs, non-procurement programs, and financial benefits. An exclusion may be based on the Federal Acquisition Regulation (FAR) 9.4; Federal Property Management Regulation (FPMR) 101-45.6; Government Printing Office (GPO) Instruction 110.11 A; U.S. Postal Service (PS) Publication 41; the Non-procurement Common rule; or the authority of a statute, Executive Orders 12549 and 12689 or regulation applying to procurement or non-procurement programs. Following are some examples of individuals or persons (proposed for debarment, debarred, suspended, or voluntarily excluded): participants who are direct or indirect recipients of HUD funds; and those who represent entities such as contractors or corporations who are participants in HUD FHA assisted or sponsored programs including mortgage insurance programs.

Categories of records in the system:

The automated database contains pertinent information obtained from hard copy compliance case files. These automated records contain, but are not limited to: Names; addresses of all persons proposed for debarment; persons debarred, suspended, or excluded by

a

Limited Denial of Participation (LDP) action; cross-references when more than one name is involved in a single action; the type of action; the cause of the action; the scope of the action; any termination date for each listed action; and the agency name and telephone number of the agency point of contact for the action. The system also contains records of referrals for administrative

sanction

action where action is pending or where no action was taken.

Authority for maintenance of the system:

Executive Orders 12549 and 12689; U.S.C. 31, 41, and 42.

Purpose(s):

To the extent permitted by law, executive departments and agencies shall participate in a government-wide system for the

following purposes: (1) To exclude from Federal financial and non-financial assistance and benefits under Federal programs and activities those who have been debarred or suspended; and (2) to include in the List of Parties Excluded from Federal Procurement and Nonprocurement Programs all persons proposed for debarment, debarred,

suspended, or excluded by a Limited Denial of Participation (LDP).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records, or information contained therein, may specifically be disclosed outside of the agency as routine use pursuant to 5 U.S.C. 552a(b)(3) as follows, provided that no routine use listed shall be construed to limit or waive any other routine use specified herein:

(a) Internal Revenue Service (IRS)--for the purpose of effecting an administrative offset against the debtor for a delinquent debt owed to the U.S. Government by the debtor.

(b) Department of Justice (DOJ)--for prosecution of fraud, and for the institution of suit or other proceedings to effect collection of claims.

(c) General Accounting Office (GAO)--for further collection action on any delinquent account when circumstances warrant.

(d) Outside collection agencies and credit bureaus--for the purpose of either adding to a credit history file or obtaining a credit history file on an individual for use in the administration of debt collection for further collection action.

(e) U.S. General Services Administration (GSA)--for compilation and maintenance of a List of Parties Excluded From Federal Procurement and Non-procurement Programs in accordance with a recommendation from the Interagency Committee on Debarment and Suspension, and identification and monthly distribution of a list of those parties excluded throughout the U.S. Government (unless otherwise noted) from receiving Federal contracts or certain subcontracts and from certain types of federal financial and non-financial assistance and benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated records are stored and saved in access files in the CCTS (F73 System).

Retrievability:

These records are retrieved by names of individuals and companies.

Safeguards:

The automated records are stored and saved in limited access files in the CCTS (F73 System) and available only to those persons whose official duties require such access.

Retention and disposal:

CCTS (F73 System) users, in accordance with internal retention procedures, maintain records relating to each suspension or debarment action taken by the Agency. Automated records are retained in the CCTS (F73 System) and kept up to date.

System manager(s) and address:

Director, Departmental Enforcement Center, 1250 Maryland Avenue, Southwest, Suite 200, Washington, DC 20024.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at HUD, 451 7th Street, SW, room P8202, Washington, DC 20410, in accordance with the procedures in 24 CFR part 16.

Record access procedures:

The Department's rule for providing access to records to the individual concerned appear in 24 CFR, part 16. If additional information or assistance is required, contact the Privacy Act Officer at HUD, 451 7th Street SW, room P8202, Washington, DC 20410.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials, by the individual concerned appear in 24 CFR, part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting

contents

of records, the Privacy Act Officer at HUD, 451 7th Street, SW, room P8202, Washington, DC 20410; and (ii) in relation to appeals of initial denials, the Department of Housing and Urban Development (HUD), Departmental Privacy Appeals Officer, Office of General Counsel, HUD, 451 Seventh Street, Southwest, Washington, DC 20410.

Record source categories:

Information in this system of records is obtained from any source which has information to provide concerning the existence of a

cause for administrative sanction. Examples of record sources include, but are not limited to HUD employees, Federal government agencies, non-federal government agencies, Federal and state courts, financial institutions, state and local law enforcement offices, and regulatory or licensing agencies.

Exemptions for certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/EC-02

System name:

Departmental Tracking System (DTS), V02A.

System location:

HUD Headquarters and HUD Computer Center, Lanham, Maryland.

Categories of individuals covered by the system:

Individuals covered consist of any program participant who is a direct or indirect recipient of HUD funds and who is subject to enforcement action due to fraud, waste, abuse and mismanagement of HUD funds. Individuals would include: Mortgagors, mortgagees, partners, partnerships, associations, trustees, boards, board members, managers, developers, sponsors, builders, administrators, executives, tenants, employees, health care providers, vendors,

consultants, bidders, brokers, appraisers, borrowers, sellers, contractors, corporations (include non-profits), attorneys, underwriters, inspectors, grant recipients, accountants, real estate and closing agents, companies, and units of government (however organized).

Categories of records in the system:

Categories of records include pertinent information obtained from

other automated systems such as: Name, address, title, job classification; identifying numbers such as social security number, tax identification number, project, and program identification numbers, and violations; sanctions including debarments, suspensions, Limited Denial of Participation (LDP), indictments, judgments, convictions, civil money penalties, reprimands, fines, settlement agreements, foreclosures, removal of program participants, takeovers, receiverships, 2530 denials, revocation of designation, grant and subsidy sanctions; and all enforcement actions taken by or on behalf of the Department.

Authority for maintenance of the system:

42 U.S.C. 3533 and 3535

Purpose(s):

The DTS is being developed to serve the following purposes: (1) To establish an agency-wide database that will allow personnel to access and track information to generate reports on all of the Department's efforts to eliminate fraud, waste, abuse and mismanagement in all HUD programs, and (2) to provide a mechanism to cross reference and match data on individuals against which an enforcement action has been taken or is in the process of being taken. This information may be used to determine whether those individuals are eligible to receive or to continue to receive federal

financial and non-financial assistance and benefits under federal programs and activities.

Routine uses of records maintained in the system, including categories of users and purposes of such uses are:

See General Statement of Routine Use paragraphs in prefatory statement, which are disclosures generally permitted under 5 U.S.C. 552 a(b) of the Privacy Act. In addition to those disclosures generally permitted under the Privacy Act, these records or information contained therein, may specifically be disclosed outside of the agency as routine use pursuant to 5 U.S.C. 552a(b)(3) as follows, provided that no routine use listed shall be construed to limit or waive any other routine use specified herein:

a. Internal Revenue Service (IRS)--for the purpose of effecting an administrative offset against the debtor for a delinquent debt owed to the U.S. Government by the debtor;

b. Department of Justice (DOJ)--for investigation and litigation and representation of HUD before the courts and performance of all legal work incident thereto;

c. General Accounting Office (GAO)--for further collection action

on any delinquent account when circumstances warrant;

d. Outside collection agencies and credit bureaus--for the purpose of either adding to a credit history file or obtaining a

credit history file on an individual for use in the administration of debt collection for further collection action;

e. Congress and the General Accounting Office (GAO) to provide reports on the Department's efforts to restore public trust.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Electronic records will be stored in the DTS (V02A System). Printouts will be stored manually in locked and lockable metal file cabinets and desk drawers.

Retrievability:

Electronic records may be retrieved by individual or company name, case name, HUD/FHA program case number, social security number, tax/employee Identification number. Printouts may be retrieved manually from metal cabinets and drawers in the manner in which they are filed.

Safeguards:

Automated records will be saved in the DTS (V02A System) and accessed by authorized personnel who must use secured passwords to enter the system. Printouts are maintained in file cabinets and drawers within a limited access area.

Retention and disposal:

Automated records will be retained in the DTS (V02 System) and updated. Printouts will be disposed of in accordance with HUD Handbook 2225.6.

System manager(s) and address:

Director, Departmental Enforcement Center, Portals Building, Suite 200, 1250 Maryland Avenue, SW, Washington, DC 20024.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with procedures in 24 CFR part 16. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individuals concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location (a list of all locations is given in Appendix A) and (ii) in relation to

appeals of initial denials, the Department of Housing and Urban Development Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

The Departmental Tracking System will interface with other HUD information systems to extract pertinent data for tracking and reporting.

Exemptions from certain provisions of the act:

None.

Appendix B--Departmental Enforcement Center Headquarters and
Satellite Office Locations

U. S. Department of Housing and Urban Development,
Departmental Enforcement Center, Portals Building 1250
Maryland Avenue, SW, Suite 200, Washington, DC 20024

HUD Illinois Enforcement Center, Ralph H. Metcalfe
Federal building 77 West Jackson Boulevard, Room 2207,
Chicago, IL 60604-3507

HUD Georgia Enforcement Center, Richard B. Russell
Federal Building 75 Spring Street, SW, Room 1070,
Atlanta, GA 30303-3388

HUD Ft. Worth Enforcement Center, Federal Building 819
Taylor Street, Room 13A47, Ft. Worth, TX 76113

HUD Los Angeles Enforcement Center, 611 West 6th
Street, Suite 3800, Los Angeles, CA 90017-3127

HUD New York Enforcement Center, 26 Federal Plaza, Room
3237, New York, NY 10278-0068

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-3

System name: Single Family Housing Monitoring System (F-39).

System location: Headquarters.

Categories of individuals covered by the system: Single-family
mortgagors.

Categories of records in the system: Cross-indexes (used to
support
studies and investigations).

Authority for maintenance of the system: National Housing Act of
1934, Pub.L. 73-479, Sec. 209.

Routine uses of records maintained in the system, including
categories of users and the purposes of such uses: See Routine Uses
paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing,
retaining, and disposing of records in the system:

Storage: Magnetic tape/disc/drum.

Retrievability: Name; case file number.

Safeguards: Computer facilities are secured and accessible only by
authorized personnel, and all files are stored in a secured area.
Technical restraints are employed with regard to accessing the
computer and data files.

Retention and disposal: Records system is active and kept up-to-
date.

System manager(s) and address: Director, Management Information

Systems Division, HAI, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at Headquarters. A list of all locations is given in appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject individuals; current or previous employers; credit bureau; financial institutions; corporations; firms; federal government agencies.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-5

System name:

Single Family Computerized Homes Underwriting Management System (CHUMS).

System location:

HUD Headquarters and Single Family Homeownership Centers in Atlanta, Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Individuals who have obtained a mortgage insured under HUD/FHA's single family mortgage insurance programs and individuals who unsuccessfully applied for an insured mortgage.

Also, individuals involved in the HUD/FHA single-family underwriting process (builders, fee appraisers, fee inspectors, mortgagee staff appraisers, mortgagee staff underwriters) and HUD employees involved in the single family underwriting process (e.g., staff appraisers, staff mortgage credit examiners, architectural employees, receiving clerks, assignment clerks, commitment clerks, records clerks, and closing clerks).

Categories of records in the system:

Automated files contain name, address, Social Security Number or other identification number; racial/ethnic background, if disclosed, of the mortgagor and information about the mortgage loan. These records also contain the name, address, Social Security Number or

other identification number, territory, workload, and minority data (including racial/ethnic background, Minority Business Enterprise (MBE) Code, and sex, for statistical tracking purposes) of builders, fee appraisers, and fee inspectors. These records will further contain the name and identifying number of each mortgagee staff appraiser and each mortgagee staff underwriter and the territory and workload of those individuals. Additionally, the automated files contain identification (name and social security or other

identifying

number) of HUD employees involved in the single family underwriting process (Homeownership Center managers, staff appraisers, architectural employees, receiving clerks, assignment clerks, commitment clerks, records clerks, and closing clerks).

Authority for maintenance of the system:

Section 203, National Housing Act, Pub. L. 73-479.

The information collection enables HUD/FHA to process applications for HUD mortgage insurance and respond to inquiries regarding applications and insured mortgages.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act other routine uses include:

(a) To other agencies; such as, Departments of Agriculture, Education and Veterans Affairs, and the Small Business Administration--for use of HUD's Credit Alert Interactive Voice Response System (CAIVRS) to prescreen applicants for loans or loans guaranteed by the Federal Government to ascertain if the applicant

is

delinquent in paying a debt owed to or insured by the Government.

(b) To the FBI to investigate possible fraud revealed in underwriting, insuring or monitoring.

(c) To Department of Justice for prosecution of fraud revealed in underwriting, insuring or monitoring.

(d) To General Accounting Office (GAO) for audit purposes.

(e) To financial institutions and computer software companies

for

automated underwriting, credit scoring and other risk management evaluation studies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape/disc/drum.

Retrievability:

Records are retrieved by name, Social Security Number or other identification number.

Safeguards:

Automated records are maintained in secured areas. Access is limited to authorized personnel.

Retention and disposal:

Computerized records of insured cases are retained for 10 years and those on rejected cases are retained for 3 years.

System manager(s) and address:

Director, Home Mortgage Insurance Division, HUAH, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington,

DC

20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Mortgagors, appraisers, inspectors, builders, mortgagee staff appraisers, mortgagee staff underwriters, and HUD employees.

Exemptions for certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-6

System name:

Single Family Section 518 Files (Construction Complaints).

System location:

Headquarters and Single Family Homeownership Centers in Atlanta, Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

HUD insured owners of one-to-four family dwellings who filed claims because of structural or other major defects found in their homes.

Categories of records in the system:

Name, address, home phone number, property inspection report, disposition of claim information and other information pertinent to the claim.

Authority for maintenance of the system:

Sec. 104, Housing and Urban Development Act of 1970 (Pub. L. 91-609), 12 U.S.C. 1735b.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5

U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

- (a) To complainants and attorneys representing them to review complainant files for status and information.
- (b) To the person or firm complained about for resolution of the complaint.
- (c) To the Department of Veterans Affairs or the Rural Housing Service for coordination with HUD in processing construction complaints.
- (d) To Congressional delegations to provide information concerning status of complaints.
- (e) To originating and servicing mortgagees to provide information concerning status of complaint.
- (f) To state agencies for investigation.
- (g) To the FBI to investigate possible fraud revealed in the course of the complaint review.
- (h) To Department of Justice for prosecution of fraud revealed

in

the course of complaint review.

- (i) To IRS for investigation.
- (j) To General Accounting Office (GAO) for audit purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders.

Retrievability:

Records are retrieved by name, case number, and claim number.

Safeguards:

Records are kept in lockable file cabinets with access limited to authorized personnel.

Retention and disposal:

Records are retained for six years and then disposed.

System manager(s) and address:

Director, Home Mortgage Insurance Division, HUAH, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it

may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals and Departmental records.

Exemptions from certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-7

System name:

Previous Participation Review System (PPRS F19), and Active Partners Performance System (APPS F24P) Previous Participation Files.

System location:

HUD Headquarters and field offices.

Categories of individuals covered by the system:

Principals (owners, general contractors, management agents, consultants and packagers) in HUD multifamily housing programs.

Categories of records in the system:

Information concerning the Department's consideration/approval/disapproval of HUD multifamily housing program principals, including names and Social Security Numbers of principals; lists of prior HUD projects; summaries of financial, management, or operational difficulties with prior HUD projects (if any); indication of whether principals are or have been the subject of a government investigation; other information relevant to the standards for previous participation approval; minutes of deliberative meetings. Both F19 and F24P contain flags and the reason for the flag on an external individual or company participant.

Authority for maintenance of the system:

Section 7(d), Department of HUD Act, 79 Stat. 670, (42 U.S.C. 3535(d)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, other routine uses are as follows:

To state and local governments participating in HUD housing programs as co-insurers or finance agencies--to assist in project application reviews.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper support files are stored in file folders in locked filing cabinets in a secure room. F19 runs on the UNISYS system and F24P runs on a LAN SERVER. It is an Internet/Intranet application.

Retrievability:

Name of principal and HUD project case number. F19 is retrievable by Name and Project Number. F24P is retrievable by Name, SSN, Tax ID, Property Name, and Project Number.

Safeguards:

Files are kept in locked filing cabinets in a secure room.

Access

is limited to authorized personnel. F19 is accessible by Authorized personnel in the Field Offices and Headquarters. F24P is accessible by authorized Business Partners (for each individual's information only), Field Office Staff and Headquarters Staff.

Retention and disposal:

Records are primarily active; disposal is in accordance with HUD Handbook 2225.6 REV-1 on disposition of records.

System manager(s) and address:

Director, Business Performance Review Division, HRDP, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in Appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Headquarters location. A list of all locations is given in Appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by

contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A. If additional information or assistance is needed in relation to appeals of initial

denials, it may be obtained by contacting the HUD Departmental Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals; HUD Field Offices; other governmental agencies.

Exemptions from certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-8

System name: Property Rental Files.

System location:

HUD field offices and HUD Area Management Brokers (AMBs) under the jurisdiction of the HUD field offices. For a complete listing of HUD field offices with addresses, see appendix A.

Categories of individuals covered by the system:

Occupants (prospective, current and former) of the one to four-family properties which HUD expects to acquire, generally as a result of foreclosure, or has acquired or of which HUD expects to or has taken possession.

Categories of records in the system:

The files consist of documents pertaining to request for continued occupancy, rental applications, and rent payment. The documents will include leases and rental information if the properties are being conveyed or transferred to HUD subject to occupancy; individuals' names, addresses, telephone numbers, identifying numbers such as Social Security Numbers, (if available) income, circumstances of employment, expenses, liabilities, and personal and credit references, and records of rents paid and owned while tenants of HUD, and related correspondence. Also, pursuant to 24 CFR 203.670, where individuals seek to qualify for continued occupancy of a property to be conveyed to HUD because of an illness or injury, certain documentation pertaining to the validity of the individuals' claims will be maintained in these files.

Authority for maintenance of the system:

National Housing Act of 1937 as amended (Pub. L. 75-412).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine uses paragraph in prefatory statement. Other routine uses: Consumer reporting and commercial credit agencies--to facilitate claims collection consistent with Federal claims collection standards, 4 CFR 102.4, to State motor vehicle agencies and Internal Revenue Service--to obtain current addresses of debtors, to Internal Revenue Service--for reporting of discharged indebtedness, to attorneys hired by the Department in connection with eviction related activities--to facilitate eviction related activities, to collection agencies hired by the Department--to collect delinquent rent, to prospective purchasers of tenant occupied properties--to provide them rent rolls and income and expenses data, and to HUD's Area Management Brokers (AMBs)--to permit them to perform their property management responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Case file number, property address, and name of tenant.

Safeguards:

Desk, file cabinets kept in a secured area. Access restricted to

authorized individuals.

Retention and disposal:

Obsolete records are destroyed or sent to storage facility in accordance with HUD Handbook 2225.6, Records Disposition Management; HUD Records Schedules.

System manager(s) and address:

Director, Single Family Property Disposition Division, HSSP, Office of Single Family Housing, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Office at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Subject individuals, other individuals, current or previous employers credit bureaus, financial institutions, other corporations or firms, Federal government agencies; non-Federal (including foreign, State and local) government agencies, real estate brokers and agents.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-9

System name: Project Management Records.

System location:

Headquarters, HUD Field Offices and HUD Project Managers under the jurisdiction of the HUD Field Offices. For a complete listing of

HUD Field Offices with addresses, see appendix A.

Categories of individuals covered by the system:

Occupants (prospective, current and former) of multifamily projects (five or more units) which HUD expects to acquire, generally

as a result of foreclosure, or has acquired, or of which HUD expects to or has taken possession.

Categories of records in the system:

The records consist of documents pertaining to rental applications and rent payments. The documents include leases and rental information if the projects are being conveyed or transferred to HUD; individuals' names, addresses, telephone numbers, identifying

numbers such as Social Security Numbers (if available), income, circumstances or employment, expenses, liabilities, and personal and credit references, and records of rents paid and owed while tenants of HUD, and related information and correspondence.

Authority for maintenance of the system:

U.S. Housing and Urban Development Act, 42 U.S.C. 3535(d).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine uses paragraph in prefatory statement. Other routine uses: Consumer reporting and commercial credit agencies--to facilitate claims collection consistent with Federal claims collection standards, 4 CFR 102.4; to Federal, State and local governmental organizations--to verify information provided on applications to expose fraudulent information; to HUD project managers--to permit them to perform their property management functions; to State motor vehicle agencies and Internal Revenue Service--to obtain current addresses to debtors; to attorneys hired by the Department in connection with eviction related activities--to facilitate eviction related activities; to collection agencies hired by the Department--to collect delinquent rent; and to prospective purchasers of tenant occupied properties--to provide them rent rolls and income and expense data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders and on magnetic tape, disc or drum.

Retrievability:

Project number, project address, and name of tenant.

Safeguards:

Desk, file cabinets kept in secured area. Computer records are maintained in secured areas with technical restraints employed with regard to accessing records. Access restricted to authorized individuals.

Retention and disposal:

Records are disposed of in accordance with the mandatory General Records Schedules contained in HUD Handbook 2228.2. Project records are conveyed to purchasers of the projects.

System manager(s) and address:

Director, Office of Multifamily Financing and Preservation, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of

records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedure:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Tenants and prospective tenants.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-11

System name:

Tenant Housing Assistance and Contract Verification Data.

System location:

Headquarters and Field Offices. For a listing of Field Offices with addresses, see 24 CFR part 16, appendix A. Decentralized portions of this data may be maintained by selected contractors with research contracts.

Categories of individuals covered by the system:

This file contains a record for each individual receiving housing assistance from HUD under the following programs: Section 8, Public/Indian Housing, Section 236 (including Section 236 RAP), Rent Supplement, Section 221(d)3 BMIR, Section 811, and Section 202. The file will also contain a record for each PHA/owner/management agent who receives payments for the assisted housing programs mentioned above.

Categories of records in the system:

The system of records provides data needed to: (1) Determine the amount of housing assistance tenants may receive, (2) calculate

payments due to public housing agencies, owners/management agents,
or
contract administrators, (3) forecast budgets and (4) control funds.
The system of records also contains manual and automated records
consisting of: Identification information such as Name; SSNs for all
individuals six (6) years of age and older; Alien Registration
Information; address and tenant unit number; financial data such as
income, adjustments to income; contract rent amount; tenant rent;
tenant characteristics such as number in family, sex of family
member, information about the family that would qualify them for
certain adjustments or for admission to a project limited to a
special population (e.g., elderly, handicapped or disabled);
relationships of members of the household to the Head of household
(e.g., spouse, child); preference(s) applicable to the family at
admission; income status at admission and race and ethnicity of Head
of household; unit characteristics such as number of bedrooms;
geographic data information obtained by PHA or owner from third
parties used to verify data supplied by the applicant or tenant to
determine eligibility or level of assistance; information obtained
from a state wage information collection agency on wages and claim
information; information obtained through computer matching by HUD

or
a PHA with Federal and State agencies; information on the results of
the follow-up phase of owner verifications or a computer match of
tenant income (i.e., dollar amount of overpaid assistance, amount
repaid, prosecution, termination of assistance, and termination of
tenancy); and related correspondence.

Also included are manual and automated records on all
contractual

agreements, and financial information (i.e., names, addresses,
Taxpayer Identification Numbers (TINs) or Social Security Numbers
(SSNs), obligations, payments, contract terms) for public housing
agencies, and/or owners/management agents.

Authority for maintenance of the system:

United States Housing Act of 1937; as amended, 42 U.S.C. 1437 et
seq., and the Housing and Community Development Amendments of 1981,
Public Law 97-35, 95 Stat. 408.

Routine uses of records maintained in the system, including
categories of users and the purposes of such uses:

See routine uses paragraph in prefatory statement. Other routine
uses include:

1. To Federal, State, and local agencies to verify the accuracy
and completeness of data, to verify eligibility or continued
eligibility in HUD's rental assistance programs, and to aid in
identifying tenant errors, fraud and abuse. When this involves
computer matching, the matching is conducted using HUD/PIH-1, the
Tenant Eligibility Verification Files;

2. Individuals under contract, cooperative agreement or grant,
to
HUD or under contract, cooperative agreement or grant to another
agency with funds provided by HUD--for the performance of research
and statistical activities directly related to the management of
HUD's rental assistance programs, to support quality control for
tenant eligibility efforts requiring a random sampling of tenant
files to determine the extent of administrative errors in making
rent
calculations, eligibility determinations, etc., for processing

certifications/recertifications, and for other research and statistical purposes not otherwise prohibited by law or regulation;

3. Housing Authorities, (HAs)--to verify the accuracy and completeness of tenant data used in determining eligibility and continued eligibility and the amount of housing assistance received;

4. Private Owners of assisted housing--to verify the accuracy and completeness of applicant and tenant data used in determining eligibility and continued eligibility and the amount of assistance received;

5. To HAs, owners/management agents and contract administrators--to identify and resolve discrepancies in tenant data;

6. To the Internal Revenue Service--to report income using IRS Form 1099;

7. To Social Security Administration and Immigration and Naturalization Service--to verify alien status and continued eligibility in HUD's rental assistance programs;

8. To researchers affiliated with academic institutions, with not-for-profit organizations, or with Federal, state or local governments, or to policy researchers--in the form of user-defined microdata files, without individual identifiers--name, address, date of birth, and Social Security Number--for the performance of research

and statistical activities on housing and community development issues. Even though no individual identifiers will be included in the data files, patterns in the data may result in identification of some

individual tenants. Researchers receiving these files may not use them in whole or in part in making any determination about an identifiable individual, nor may they release the data to others in a

form that can identify individual tenants. Records will be released under this paragraph only with approval of the Assistant Secretary for Policy Development and Research;

9. To State/County welfare, social service, or employment agencies for the purpose of matching assisted housing tenant records to employment, education and other data which would be transmitted to

the HUD Office of Policy Development and Research for statistical analyses of the resource requirements of welfare reform. The assisted

housing tenant records released under this paragraph may not be used by the State/County agencies to make decisions concerning the rights,

benefits, or privileges of specific individuals.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Paper records in file folder; magnetic tape/disk.

Retrievability:

Name of tenant and all household members, address, SSN, or other identification number. Name of owners/management agents by name, SSN or TIN.

Safeguards:

File folders, automated records kept in a secured area. Access restricted to authorized individuals.

Retention and disposal:

Obsolete records are destroyed or sent to a storage facility in accordance with HUD Handbook 2235.6, Records Disposition Management; HUD Records Schedules.

System manager(s) and address:

For Section 8, Section 236 (including Section 236 RAP), Rent Supplement, Section 221(d)3 BMIR, Section 811, and Section 202--Office of the Assistant Secretary for Housing: Director, Housing Information and Statistics Division, Office of Management; Director, Planning and Procedures Division, Office of Multifamily Housing Management, Deputy Assistant Secretary for Multifamily Housing Programs; Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410.

For Public and Indian Housing and Section 8 existing and Mod Rehab Programs--Office of Assistant Secretary for Public and Indian Housing: Office of Public Housing, Chief, Occupancy Branch, Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410.

For Computer Matching Activities--Director, Computer Matching Activities Division, Office of Public and Indian Housing Comptroller, U.S. Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410.

Notification procedures:

For information assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rule for contesting the contents of records and appealing initial denials by the individual concerned appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410.

Record source categories:

Subject individuals, other individuals and organizations, Federal, State, and local agencies. PHA staff/private owners/management agents.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/H-12

System name: Housing Compliance Files.

System location:

Headquarters and Field Offices. For a listing of Field Offices with addresses, see appendix A.

Categories of individuals covered by the system:

Individuals (those who are direct or indirect recipients of HUD funds; participants, or contractors with participants in HUD-FHA assisted or sponsored programs including mortgage insurance programs; or former HUD employees as set forth in 24 CFR 24.3 and 24.4(f)) who have been suspended, or debarred, or who are ineligible to participate in HUD programs or those whose records of participation in HUD programs are being reviewed for possible administrative actions to exclude them from further participation.

Categories of records in the system:

The files consist of correspondence and documents pertaining to the subject individuals. The documents may include indictments, information, judgments, audits, inspector general investigation reports, credit reports and financial reports, FBI reports, copies of HUD/FHA forms, and related documentation and information. The individual's name, family composition, marital status, arrest record address, telephone number (if provided), and employment information are also included in the file together with documentary evidence and/

or narrative details relative to improper or illegal acts or omissions of participants in HUD programs.

Authority for maintenance of the system:

Department of HUD Act, 79 Stat. 670; (42 U.S.C. 3535(d)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See routine uses paragraph in prefatory statement. Other routine uses: Attorneys who are in private practice who represent clients who have files in the system--to permit the attorneys to properly represent their clients; to licensing and regulatory agencies as well as to other Federal and State government agencies--to provide information concerning individuals who have been administratively sanctioned by HUD.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In file folders.

Retrievability:

Name of individual.

Safeguards:

Desks, file cabinets kept in a secured area. Access restricted to

authorized individuals.

Retention and disposal:

Obsolete records are destroyed or sent to storage facility in accordance with HUD Handbook 2225.6, Records Disposition Management: HUD Records Schedules.

System manager(s) and address:

Director, Participation and Compliance Division, Office of Management, HAC, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the appropriate location, in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given

in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by

contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories:

HUD employees, Federal government agencies, non-Federal government agencies, Federal and State courts, financial institutions (mortgagees), State, and local law enforcement, regulatory or licensing agencies.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/HS-10

System name:

Single Family Insurance System and Home Equity Conversion Mortgage System.

System location:

Headquarters and Single Family Homeownership Centers in Atlanta,

Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Individuals who have obtained a mortgage insured under HUD/FHA's single family mortgage insurance programs and individuals who assumed an insured mortgage.

Categories of records in the system:

Automated files contain name, address, and social security number

on mortgagors; and data regarding the insured loan such as original terms and status of the mortgage insurance.

Authority for maintenance of the system:

Sec. 203, National Housing Act, Pub. L. 73-479.

Purpose(s):

The information in this system of records enables HUD/FHA to operate the single family mortgage insurance programs (e.g., refund unearned premiums to homeowners who prepay their mortgage) and respond to inquiries regarding insured mortgages.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act other routine uses include: To General Accounting Office (GAO) for audit purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape/disc/drum.

Retrievability:

Records are retrieved by name, social security number or other identification number.

Safeguards:

Automated records are maintained in secured areas. Access is limited to authorized personnel.

Retention and disposal:

Computerized records of insured cases are retained for at least 3 years beyond maturity, prepayment, or claim termination.

System manager(s) and address:

Director, Single Family Insurance Operations Division, HFFF, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24

CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Mortgagors, mortgagees.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/HS-15

System name:

Single Family Data Warehouse System (D64A).

System location:

Headquarters and Single Family Homeownership Centers in Atlanta, Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Individuals who have obtained a mortgage insured under HUD/FHA's single family mortgage insurance programs, individuals who assumed such a mortgage, and individuals involved in appraising or underwriting the mortgage.

Categories of records in the system:

Automated files contain name, address, and social security number; racial/ethnic background, if disclosed, on mortgagors; identifying numbers on individuals involved in processing the loan; and data regarding currently and formerly insured mortgages. The loan

data includes underwriting data, such as loan-to-value ratios and credit ratios; original terms, such as mortgage amount, interest rate, term in months; status of the mortgage insurance; and history of payment defaults, if any.

Authority for maintenance of the system:

Sec. 203, National Housing Act, Pub. L. 73-479.

Purpose(s):

This information aids HUD/FHA's monitoring of the single family mortgage insurance programs; it brings together data regarding the mortgage, its performance and parties involved, which facilitates research and analysis.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act other routine uses include:

(a) To the FBI to investigate possible fraud revealed in underwriting, insuring or monitoring.

(b) To Department of Justice for prosecution of fraud revealed in underwriting, insuring or monitoring.

(c) To General Accounting Office (GAO) for audit purposes.

Policies and practices for storing, retrieving, accessing,

retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape/disc/drum.

Retrievability:

Records are retrieved by name, social security number or other identification number, case number, property address, or any other type of stored data.

Safeguards:

Automated records are maintained in secured areas. Access is limited to authorized personnel.

Retention and disposal:

Computerized records of insured cases are retained for at least 10 years beyond maturity, prepayment, or claim termination.

System manager(s) and address:

Director, Field Management, Office of the Deputy Assistant Secretary for Single Family Housing, HU, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Mortgagors, appraisers, mortgagee staff underwriters, and HUD employees--indirectly, immediate source is the operational system that captures the data (CHUMS, SFIS, SF Claims, SF Default Monitoring System).

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/HS-16

System name:

Single Family Neighborhood Watch Early Warning System (NW).
System location:

The system's databases and coldfusion code are located in
Lanham,
MD.

Categories of individuals covered by the system:

Individuals who have obtained a mortgage insured under HUD/FHA's
single-family mortgage insurance programs. Additionally, individuals
involved in the HUD/FHA single-family loan origination process.

Categories of records in the system:

Records consist of the borrower's name, property address, Social
Security Number or other identification number (ID). Also included
in
the records is originating, sponsoring, holder and servicer lender
ID

and name, mortgage amount, interest rate, front and back ratios, FHA
ADP code, loan purpose, gift source and amount, loan closing and
endorsement dates, default status, default reason, default date,
post

endorsement technical review ratings, underwriter ID and name,
appraiser ID and name, HUD indemnification information, and other
data fields associated with an FHA Case Number.

Authority for maintenance of the system:

Section 203, National Housing Act, Pub. L. 73-479.

Purpose(s):

NW enables HUD staff and lenders to monitor the default and
claim

rates on FHA insured loans for FHA-approved lenders and FHA
programs.

NW is designed to highlight exceptions--lenders, programs, loan
characteristics and geographic areas with unusual originations or
high defaults and claims on FHA insured loans. The loan level
information is password protected and can only be viewed by HUD
staff

with a need to know and lenders who were the originator, sponsor,
holder, or servicer on the loan.

Routine uses of records maintained in the system, including
categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5
U.S.C. 552a(b) of the Privacy Act other routine uses include:

(a) To FHA approved mortgage institutions to monitor the default
and claim rates on FHA insured loans. Mortgage institutions can only
view the loan level information where they were the originator,
sponsor, holder, or servicer on the loan.

Policies and practices for storing, retrieving, accessing,
retaining, and disposing of records in the system:

Storage:

The NW records are stored on a Sybase 12.5 server HLANUDP001 in
the database sfapps and on Sybase IQ server HUDDW database sfdw.

Retrievability:

Records are retrieved by a manual or computer search on the
number of originations, default, and defaults and claims from the
Early Warnings menu option, by computer search on the counts in the
Loss Mitigation--Current Defaults Reported display from the
Servicing

menu option, and by accessing the Late Endorsement, Pipeline/
Uninsured, the Default Report by Servicer queries. Entering an FHA

Case Number from the Case Status Query feature also retrieves case level detail.

Safeguards:

Automated records are maintained in secured areas. Access is limited to authorized personnel.

Retention and disposal:

Neighborhood Watch retains up to 13 quarter end dates of two years of summary originations data, and three quarter end dates of loan level data.

System manager(s) and address:

Director, Quality Assurance Division, HULQ, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

NOTIFICATION PROCEDURES:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the Department of Housing and Urban Development, 451 7th Street SW., Washington, DC. Written requests must include the full name, Social Security Number, date of birth, current address, and telephone number of the individual making the request.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUYD Department Privacy Appeals Officer, Office of General Counsel Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Record source categories:

Information may be collected from HUD, program participants, and subject individuals.

EXEMPTIONS FROM certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/HS-50

System name:

HUD/FHA Lender Approval Files.

System location:

Headquarters and Single Family Homeownership Centers in Atlanta,

Denver, Philadelphia, and Santa Ana.

Categories of individuals covered by the system:

Individuals who are principals or officers of financial institutions seeking approval or approved to originate, service or hold FHA single family or multifamily insured mortgages, or Title I insured loans.

Categories of records in the system:

Manual files contain name, address, social security number, and may contain resumes and credit bureau reports. Automated files contain name and social security number.

Authority for maintenance of the system:

Title I and Title II of the National Housing Act; 12 U.S.C. 1703,

1709 and 1751b; 42 U.S.C. 1436a and 3535(d).

Purpose(s):

The information in this system of records enables HUD/FHA to comply with any orders of the Mortgagee Review Board which disqualify

individuals as principals or officers of FHA-approved lenders. It also permits correspondence to be addressed to individuals rather than job titles.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act other routine uses include:

(a) To the FBI to investigate possible fraud revealed in underwriting, insuring or monitoring.

(b) To Department of Justice for prosecution of fraud revealed in underwriting, insuring or monitoring.

(c) To General Accounting Office (GAO) for audit purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in file folders. Automated records are stored on magnetic tape/disc/drum.

Retrievability:

Records are retrieved by name, social security number or other identification number.

Safeguards:

Manual records are maintained in lockable file cabinets in secure

office space. Automated records are maintained in secured areas. Access is limited to authorized personnel.

Retention and disposal:

Manual records are maintained for 10 years beyond the lender's approval termination. Automated records are maintained for 10 years beyond the individual's replacement.

System manager(s) and address:

Director, Lender Approval and Recertification Division, HULL, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the appropriate location in accordance with 24 CFR part 16. A list of all locations is given in appendix A.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A.

Contesting record procedures:

The Department's rules for contesting the contents of records and

appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents

of records, the Privacy Act Officer at the appropriate location. A list of all locations is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories:

Mortgagee officer or principal.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/ODEEO/01

System name:

Equal Employment Opportunity Monitoring and Analysis System (EEOMAS).

System location:

Department of Housing and Urban Development, HUD 451 Seventh Street SW, Room 2112, Washington, DC 20410

Categories of individuals covered by the system:

Personal and employment related data items on each HUD employee, and information on EEO discrimination complaint processing covering both HUD employees and applicants for employment.

Categories of records in the system:

This system contains ``selected'' personal information on each employee, depending on the employee's type of appointment with the Department, including the employee's: Full name, Date of Birth, Social Security Number, Race, Sex, Disability Status, Pay Plan, Grade and Step, Annual Salary, Occupational Series, Position Title, Organization Code, GSA Location Code, Duty Station, Veteran Preference, Type of Appointment, Tenure Group, Work Schedule, Type of

Employment, FLSA, Bargaining Unit Status, Occupational Category, Type of Position, Supervisory Status, Position Sensitivity, Education Level, Academic Discipline, Year of Degree, Special Employee Code, Special Program Code Performance Rating, Performance Year, Enter on Duty Date w/HUD, Date last Grade Promotion, Target Grade, and Date entered Present Position.

The EEO Discrimination Complaint processing portion of the system

contains information on complaints, both formal and informal, filed by HUD employees and applicants for employment. The information in EEOMAS includes, but is not limited to: Complainant's Name, Social Security Number, Complaint Type, Alleged Discriminating Official, Basis/Issues, Witnesses, Related Correspondence, Step-by-Step Processing Record, Final Disposition, and Summary of Complaint

Authority for maintenance of the system:

The legal bases for maintaining the system are:

Section 717 of Title VII of the Civil Rights Act of 1964, as amended, to ensure enforcement of Federal equal employment opportunity policy; to requires Federal agencies to maintain Affirmative Employment Programs apply the same legal standards to prohibit discrimination established for private employers; and to eliminate discrimination that Congress found existing throughout the Federal employment system. The Rehabilitation Act of 1973, as amended, required the same for persons with disabilities;

8/ The Uniform Guidelines on Employee Selection Procedures, dated

78, requires records to be maintained which allow determinations to be made of the impact of selection procedures on members of various race, sex and ethnic groups;

The Civil Service Reform Act of 1978, requires Federal agencies to conduct affirmative recruitment for those occupations and grades within their work force in which underrepresentation of women and minorities exists;

Equal Employment Opportunity Commission (EEOC) Management Directive (MD) 702, dated 12/79, required that Federal agencies develop and implement information systems that provide periodical status reports on a statistical work force profiles and on affirmative employment objectives; and

720- Federal Personnel Manual (FPM) Letters 720-4, dated 1/80 and

6, dated 10/80, established broad instructions and procedures for the collection of race, sex, and ethnic origin data on job applicants. Purpose(s):

The Equal Employment Opportunity Monitoring and Analysis System is the management information system used to monitor and evaluate the

Department's equal employment opportunity and affirmative employment efforts and accomplishments.

Routine uses of records maintained in the system including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

EEOMAS is a LAN based computerized system. The data is updated quarterly using the National Finance Center (NFC) data extracts. The data is downloaded into EEOMAS via mainframe computer.

Retrievability:

to Since EEOMAS is an internal management information system used to monitor, evaluate, and report the effectiveness of the Department's EEO/AE Program, the data is retrievable by any of the data items

listed under ``Categories of Records in the System.'' However, all EEOMAS Users, excluding those in the Office of Departmental Equal Employment Opportunity, have restricted access. Those users cannot retrieve individually identified personal privacy information

Safeguards:

EEOMAS is a LAN based computerized system and only authorized users have the EEOMAS icon on their computers.

In addition to the icon, only those users who have been entered into EEOMAS as ``authorized'' and assigned a password can access it. EEOMAS access passwords are assigned and entered by the designated System Administrators in ODEEO.

All EEOMAS Users, excluding ``need to know'' ODEEO staff, have ``Browse Only'' access to non-restricted information.

Authorized EEOMAS Users have limited access to their respective organizations (i.e. authorized EEOMAS Users in Housing can view only Housing data, etc.).

All individually identified employee information in EEOMAS for which unauthorized disclosure would constitute an unwarranted invasion of personal privacy (employee name in conjunction with the race, sex, age, date of birth, social security number, etc.) has been

deleted or shaded from view by all EEOMAS Users, except ODEEO's ``need to know'' staff.

All information is stored in a computerized database. Any hard copy reports, not in statistical format, generated from the database are kept in locked offices with restricted access.

Retention and disposal:

All EEO/AE data must be retained for a period of five (5) years in accordance with HUD's Record Disposition Schedule, after which computerized data is erased. All statistical hard copy reports are recycled. Any reports containing personal privacy data are shredded.

System manager(s) and address:

Director, Affirmative Employment Division, Director, Equal Opportunity Division, Departmental Affirmative Employment Program, 451 Seventh Street, SW, Room 2112, Washington, DC 20410.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at the Department of Housing

and Urban Development, 451 7th Street SW, Room P8202, Washington, DC 20410, in accordance with procedures in 24 CFR part 16.

Contesting record procedures:

The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appears in 24

CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contests

of records, the Privacy Act Officer at the appropriate location, the Department of Housing and Urban Development, 451 Seventh Street, SW, Room P8202, Washington, DC 20410 and (ii) in relation to appeals of initial denials, the Department of Housing and Urban Development, Departmental Privacy Appeals Officer, Office of General Counsel, 451 Seventh Street, Southwest, Washington, DC 20410.

Record source categories:

Initial employee personal information is collected when first

appointed as HUD employees (i.e. full name, social security, date of birth, disability status, etc.).

Initial position/employment related information for each employee

is derived from the type of appointment and specific position (title,

series, grade, organization, duty station, etc.) under/for which they were hired.

Updates to information on current employees are the results of personnel actions affecting employees (i.e. promotions, reassignments, etc.) and those self initiated by employees (i.e. changes in disability status/medical condition).

Information on EEO Discrimination Complaint processing is collected and entered directly into EEOMAS by ODEEO staff as complaints are filed and processed.

Exemptions from certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-1

System name: Investigative Files of the Office of Inspector General.

System location:

Headquarters.

Categories of individuals covered by the system:

Individuals covered consist of: (1) HUD program participants and HUD employees who are subjects of OIG inquiries or investigations; and (2) complainants and key witnesses where necessary for future retrieval.

Categories of records in the system:

Records consist of investigatory material compiled for law enforcement purposes, and include initial complaints filed against subjects or other information relating to potential violations of law, reports of investigation, findings of HUD officials, and recommendations and dispositions to be made.

Authority for maintenance of the system:

The Inspector General Act of 1978, 5 U.S.C. App., authorizes the Inspector General to conduct, supervise and coordinate investigations

relating to the programs and operations of HUD.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for

investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response

to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in

order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate state boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate state board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

8. Records may be disclosed to persons engaged in conducting and reviewing internal and external peer reviews of OIG to ensure adequate internal safeguards and management procedures exist within any office that had received law enforcement authorization.

9. In the event that these records respond to an audit, investigation or review, which is conducted pursuant to an authorizing law, rule or regulation, and in particular those conducted at the request of the PCIE pursuant to Executive Order 12993, the records may be disclosed to the PCIE and other federal agencies, as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored manually in file jackets and electronically in office automation equipment.

Retrievability:

Records may be retrieved by manual or computer search of indices containing the name of the individual to whom the record pertains.

Safeguards:

Records are maintained in locked file cabinets or in metal file cabinets in secured rooms or premises with access limited to those persons whose official duties require access. Computer terminals are secured in controlled areas which are locked when unoccupied. Access to automated records is limited to authorized personnel who must use a password system to gain access.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule 22 (Inspector General Records), published by the National Archives and Records Administration.

System manager(s) and address:

Assistant Inspector General, Office of Management and Policy,
Office of the Inspector General, Department of Housing and Urban
Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for notification of whether the system contains records pertaining to that individual.

Record access procedures:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for access to records pertaining to that individual. The procedures for requesting access to records appear in 24 CFR parts

16

and 2003.

Contesting record procedures:

Records are generally exempt from Privacy Act amendment or correction. However, the System Manager will give consideration to a request from an individual for amendment or correction of records pertaining to that individual. The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from a wide variety of sources, including from HUD, law enforcement agencies, program participants, subject individuals, complainants witnesses and other nongovernmental sources.

Exemption from certain provisions of the act:

This system of records, to the extent that it consists of information compiled for the purpose of criminal investigations, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2), (e)(1), (e)(2) and (e)(3) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). In addition, this system of records, to the extent

that it consists of other investigatory material compiled for law enforcement purposes, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Finally, this system of records, to the extent that it consists of investigatory material compiled for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which would reveal the identity of a source who furnished information to the Government under an express promise that

the identity of the source would be held in confidence, has been exempted from the requirements of subsection (d)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-2

System name: Hotline Complaint Files of the Office of Inspector General.

System location:

Headquarters.

Categories of individuals covered by the system:

Individuals covered consist of: (1) HUD program participants and HUD employees who are subjects of hotline complaints alleging possible violations of law, rules or regulations, mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety; and (2) HUD employees and members of the general public who are complainants.

Categories of records in the system:

Records consist of all forms and documentation generated by the complaint, including recommended and final disposition of the matter.

Authority for maintenance of the system:

The Inspector General Act of 1978, 5 U.S.C. App., authorizes the Inspector General to conduct, supervise and coordinate activities that promote economy and efficiency in the programs and operations of

HUD, and to receive and investigate complaints concerning possible violations of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health or safety.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response

to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in

order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or

governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate state boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate state board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

8. Records may be disclosed to persons engaged in conducting and reviewing internal and external peer reviews of OIG to ensure adequate internal safeguards and management procedures exist within any office that had received law enforcement authorization.

9. In the event that these records respond to an audit, investigation or review, which is conducted pursuant to an authorizing law, rule or regulation, and in particular those conducted at the request of the PCIE pursuant to Executive Order 12993, the records may be disclosed to the PCIE and other federal agencies, as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored manually in file jackets and electronically in office automation equipment.

Retrievability:

Records may be retrieved by manual or computer search of indices containing the name of the individual to whom the record pertains.

Safeguards:

Records are maintained in locked file cabinets or in metal file cabinets in secured rooms or premises with access limited to those persons whose official duties require access. Computer terminals are secured in controlled areas which are locked when unoccupied. Access to automated records is limited to authorized personnel who must use a password system to gain access.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule 22 (Inspector General Records), published by the National Archives and Records Administration.

System manager(s) and address:

Assistant Inspector General, Office of Management and Policy, Office of the Inspector General, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for notification of whether the system contains records pertaining to that individual.

Record access procedures:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for access to records pertaining to that individual. The procedures for requesting access to records appear in 24 CFR parts

and 2003.

Contesting record procedures:

Records are generally exempt from Privacy Act amendment or correction. However, the System Manager will give consideration to a request from an individual for amendment or correction of records pertaining to that individual. The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from a wide variety of sources, including from HUD, the General Accounting Office, other federal agencies, program participants, subject individuals, complaints, witnesses and other nongovernmental sources.

Systems exempted from certain provisions of the act:

This system of records, to the extent that it consists of information compiled for the purpose of criminal investigations, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2), (e)(1), (e)(2) and (e)(3) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). In addition, this system of records, to the extent

that it consists of other investigatory material compiled for law enforcement purposes, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Finally, this system of records, to the extent that it consists of investigatory material compiled for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which would reveal the identity of a source who furnished information to the Government under an express promise that

the identity of the source would be held in confidence, has been exempted from the requirements of subsection (d)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-3

System name: Name Indices System of the Office of Inspector General.

System location:

Headquarters.

Categories of individuals covered by the system:

Individuals covered consist of HUD program participants and HUD employees who have had some significant association with an OIG investigation, audit report, or hotline complaint.

Categories of records in the system:

Records are contained in a computerized central reference system and can consist of one or more of the following items: Individual's name; alias or associated name; period covered by the audit; date of birth; report date; city and state where the individual is located; social security number or employer identification number; and the

date the case was closed. This information is cross-referenced to an underlying OIG investigation, audit report, hotline complaint file number, or a departmental suspension/debarment or Mortgagee Review Board action.

Authority for maintenance of the system:

The Inspector General Act of 1978, 5 U.S.C. App., authorizes the Inspector General to conduct, supervise and coordinate audits and investigations related to the programs and operations of HUD, to engage in other activities that promote economy and efficiency in the

programs and operations of HUD, and to receive and investigate complaints concerning possible violations of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health or safety.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response

to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in

order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate state boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate state board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

8. Records may be disclosed to persons engaged in conducting and reviewing internal and external peer reviews of OIG to ensure

adequate internal safeguards and management procedures exist within any office that had received law enforcement authorization.

9. In the event that these records respond to an audit, investigation or review, which is conducted pursuant to an authorizing law, rule or regulation, and in particular those conducted at the request of the PCIE pursuant to Executive Order 12993, the records may be disclosed to the PCIE and other federal agencies, as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored electronically in office automation equipment,
and on microfiche.

Retrievability:

Records may be retrieved through computer search by the name of the individual to whom the record pertains.

Safeguards:

Computer terminals are secured in controlled areas which are locked when unoccupied. Access to records is limited to authorized personnel who must use a password system to gain access.

Retention and disposal:

Retention and disposal is in accordance with Records Disposition Schedule 3 (Administrative Records), Item No. 84, Appendix 3, HUD Handbook 2225.3 Rev-1.

System manager(s) and address:

Assistant Inspector General, Office of Management and Policy, Office of the Inspector General, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for notification of whether the system contains records pertaining to that individual.

Record access procedures:

Records are generally exempt from Privacy Act access. However, the System Manager will give consideration to a request from an individual for access to records pertaining to that individual. The procedures for requesting access to records appear in 24 CFR parts

16

and 2003.

Contesting record procedures:

Records are generally exempt from Privacy Act amendment or correction. However, the System Manager will give consideration to a request from an individual for amendment or correction of records pertaining to that individual. The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from a wide variety of sources, including from HUD, the General Accounting Office, other Federal agencies, program participants, subject individuals, complainants, witnesses and other nongovernmental sources.

Systems exempted from certain provisions of the act:

This system of records, to the extent that it consists of information compiled for the purpose of criminal investigations, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2), (e)(1), (e)(2) and (e)(3) of the Privacy Act pursuant to 5

U.S.C. 552a(j)(2). In addition, this system of records, to the extent that it consists of other investigatory material compiled for law enforcement purposes, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Finally, this system of records, to the extent that it consists of investigatory material compiled for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, has been exempted from the requirements of subsection (d)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-4

System name: Independent Auditor Monitoring Files of the Office of Inspector General.

System location:

Cherry Hill, New Jersey.

Categories of individuals covered by the system:

Individuals covered are non-federal independent auditors who have conducted audits of recipients of Federal funds received under HUD's programs. An independent auditor is: (a) A licensed certified public accountant or a person working for a licensed certified public accounting firm, or (b) a public accountant licensed on or before December 31, 1970, or a person working for a public accounting firm licensed on or before December 31, 1970.

Categories of records in the system:

Records consist of materials generated in connection with quality

control reviews of the working papers of independent auditors, including standardized checklists for evaluating an independent auditor's work performance.

Authority for maintenance of the system:

The Inspector General Act of 1978, 5 U.S.C. App., requires the Inspector General to assure that any work performed by non-federal auditors complies with the auditing standards established by the Comptroller General of the United States for audits of federal establishments, organizations, programs, activities and functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, State or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate State boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate State board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored manually in file jackets and electronically in office automation equipment.

Retrievability:

Records may be retrieved by manual or computer search of indices containing the name of the individual to whom the record pertains.

Safeguards:

Records are maintained in locked file cabinets or in metal file cabinets in secured rooms or premises with access limited to those persons whose official duties require access. Computer terminals are secured in controlled areas which are locked when unoccupied. Access to automated records is limited to authorized personnel who must use a password system to gain access.

Retention and disposal:

Retention and disposal is in accordance with General Records Schedule 22 (Inspector General Records), published by the National Archives and Records Administration.

System manager(s) and address:

Assistant Inspector General, Office of Management and Policy,
Office of the Inspector General, Department of Housing and Urban

Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

The System Manager will accept inquiries from an individual seeking notification of whether the system contains records pertaining to that individual.

Record access procedures:

The procedures for requesting access to records appear in 24 CFR parts 16 and 2003.

Contesting record procedures:

The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from the subject independent auditor, HUD, auditees, program participants, complainants and other nongovernment sources.

Systems exempted from certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-5

System name:

AutoAudit of the Office of Inspector General.

System location:

Headquarters, District Offices, and Field Offices.

Categories of individuals covered by the system:

Individuals covered consist of: (1) HUD program participants and HUD employees who are associated with an activity that OIG is auditing or reviewing; (2) requesters of an OIG audit or other activity; and (3) persons and entities performing some other role of significance to the OIG's efforts, such as relatives or business associates of HUD program participants or employees, potential witnesses, or persons who represent legal entities that are connected

to an OIG audit or other activity. The system also tracks information

pertaining to OIG staff handling the audit or other activity, and may

contain contact names for relevant staff in other agencies.

Categories of records in the system:

Records consist of materials compiled and/or generated in connection with audits and other activities performed by OIG staff. These materials include information regarding the planning, conduct and resolution of audits and reviews of HUD programs and participants

in those programs, internal legal assistance requests, information requests, responses to such requests, reports of findings, etc.

Authority for maintenance of the system:

The Inspector General Act of 1978 (5 U.S.C. App. 3) authorizes the Inspector General to conduct, supervise and coordinate audits and

investigations relating to the programs and operations of HUD, to

engage in other activities that promote economy and efficiency in the programs and operations of HUD, and to receive and investigate complaints concerning possible violations of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial or specific danger to the public health or safety.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate state boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate state board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

8. Records may be disclosed to persons engaged in conducting and reviewing internal and external peer reviews of OIG to ensure auditing standards applicable to Government audits by the Comptroller

General of the United States are applied and followed.

9. In the event that these records respond to an audit, investigation or review, which is conducted pursuant to an authorizing law, rule or regulation, and in particular those conducted at the request of the PCIE pursuant to Executive Order 12993, the records may be disclosed to the PCIE and other federal

agencies, as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: STORAGE:

Records are stored electronically in office automation equipment and manually in file jackets.

Retrievability:

Records may be retrieved by computer search of the AutoAudit software, and/or by reference to a particular file number.

Safeguards:

Records are maintained in a secure computer network, and in locked file cabinets or in metal file cabinets in rooms with controlled access.

Retention and disposal:

Retention and disposal is in accordance with (1) Records Disposition Schedule 3 (Administrative Records), Item Nos. 79-1 to 86, Appendix 3, HUD Handbook 2225.6 Rev 1; and (2) General Records Schedules, Appendix 22 (Inspector General Records), HUD Handbook 2228.2 Rev. 4.

System manager(s) and address:

Assistant Inspector General for Audit, Office of the Inspector General, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

The System Manager will accept inquiries from individuals seeking

notification of whether the system contains records pertaining to them.

Record access procedures:

The procedures for requesting access to records appear in 24 CFR parts 16 and 2003.

Contesting record procedures:

The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from a wide variety of sources, including from HUD, other federal agencies, the General Accounting Office ('GAO'), law enforcement agencies, program participants, subject individuals, complainants, witnesses and other non-governmental sources.

Exemptions from certain provisions of the act:

None.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/OIG-6

System name:

AutoInvestigation of the Office of Inspector General.

System location:

Headquarters, District Offices, and Field Offices.

Categories of individuals covered by the system:

Individuals covered consist of: (1) HUD program participants and HUD employees who are associated with an activity that OIG is

investigating or evaluating; (2) requesters of an OIG investigative or other activity; and (3) persons and entities performing some other role of significance to the OIG's efforts, such as relatives or business associates of HUD program participants or employees, potential witnesses, or persons who represent legal entities that are connected to an OIG investigation or other activity. The system also tracks information pertaining to OIG staff handling the investigation or other activity, and may contain contact names for relevant staff in other agencies.

Categories of records in the system:

Records consist of investigatory material compiled and/or generated for law enforcement purposes in connection with investigations and other activities performed by OIG staff. These materials include information regarding the planning, conduct and prosecution of investigations of HUD program participants and employees, legal assistance requests, information requests, responses

to such requests, reports of investigations, etc.

Authority for maintenance of the system:

The Inspector General Act of 1978 authorizes the Inspector General to conduct, supervise and coordinate audits and investigations relating to the programs and operations of HUD, to engage in other activities that promote economy and efficiency in the programs and operations of HUD, and to receive and investigate complaints concerning possible violations of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial or specific danger to the public health or safety.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule, or regulation.

2. Records may be disclosed to a congressional office in response to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, Public Housing Authorities or management agents of HUD-assisted housing projects, in order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and

the disclosure is relevant and reasonably necessary to adjudicate the matter.

5. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an OIG investigation.

6. Records may be disclosed to appropriate state boards of accountancy for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the independent auditor has been notified that the OIG is contemplating disclosure of its findings to an appropriate state board of accountancy, and the independent auditor has been provided with an opportunity to respond in writing to the OIG's findings.

7. Records may be disclosed to DOJ for litigation purposes associated with the representation of OIG and/or HUD before the courts.

8. Records may be disclosed to persons engaged in conducting and reviewing internal and external peer reviews of OIG to ensure adequate internal safeguards and management procedures exist within any office that had received law enforcement authorization.

9. In the event that these records respond to an audit, investigation or review, which is conducted pursuant to an authorizing law, rule or regulation, and in particular those conducted at the request of the PCIE pursuant to Executive Order 12993, the records may be disclosed to the PCIE and other federal agencies, as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored electronically in office automation equipment and manually in file jackets.

Retrievability:

Records may be retrieved by computer search of the AutoInvestigation software, and/or by reference to a particular file number.

Safeguards:

Records are maintained in a secure computer network, and in locked file cabinets or in metal file cabinets in rooms with controlled access.

Retention and disposal:

Retention and disposal is in accordance with (1) Records Disposition Schedule 3 (Administrative Records), Item Nos. 79-1 to 86, Appendix 3, HUD Handbook 2225.6 Rev 1; and (2) General Records Schedules, Appendix 22 (Inspector General Records), HUD Handbook 2228.2 Rev. 4.

System manager(s) and address:

Assistant Inspector General for Investigation, Office of the Inspector General, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure:

Records are generally exempt from Privacy Act access. However, the System Manager will accept and give consideration to a request from an individual for notification of whether the system contains records pertaining to that individual.

Record access procedures:

Records are generally exempt from Privacy Act access. However, the System Manager will accept and give consideration to a request

from an individual for access to records pertaining to that individual that are indexed and retrieved by reference to that individual's name and/or social security number. The procedures for requesting access to records appear in 24 CFR parts 16 and 2003.

Contesting record procedures:

Records are generally exempt from Privacy Act amendment or correction. However, the System Manager will accept and give consideration to a request from an individual for amendment or correction of records pertaining to that individual that are indexed and retrieved by reference to that individual's name and/or social security number. The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

The OIG collects information from a wide variety of sources, including from HUD, other federal agencies, GAO, law enforcement agencies, program participants, subject individuals, complainants, witnesses and other non-governmental sources.

Exemptions from certain provisions of the act:

This system of records, to the extent that it consists of information compiled for the purpose of criminal investigations, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2), (e)(1), (e)(2) and (e)(3) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2). In addition, this system of records, to the extent

that it consists of other investigatory material compiled or generated for law enforcement purposes, has been exempted from the requirements of subsections (c)(3), (d)(1), (d)(2) and (e)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2). Finally, this system of records, to the extent that it consists of investigatory material compiled or generated for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which would reveal the identity of a source who furnished information to the government under an express

promise that the identity of the source would be held in confidence, has been exempted from the requirements of subsection (d)(1) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5). Rules have been promulgated in accordance with the requirements of 5 U.S.C. 553(b), (c) and (e) and have been published in the Federal Register 1

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/PD&R-6

System name: Real Estate Settlement Costs Research Files.

System location: Contractor's office (contractor to be selected).

Categories of individuals covered by the system: Buyers and sellers

of individual residential housing units and owners of such units who refinance their mortgages.

Categories of records in the system: A national sample of Uniform Settlement Statement (HUD-1) forms, showing detailed settlement items

and their costs, will be collected from mortgage lenders. Follow-up phone calls to buyers and sellers listed on these forms may be made to elicit information on settlement procedures, costs, etc. In addition, a sample of HUD-1 forms and good-faith estimates of settlement costs will be collected from mortgage lenders in about 12 different housing markets across the country; a sub-sample of these forms will be used to draw a sample of buyers and sellers, as well as

a sample of attorneys, mortgage lenders, and others who provided services to buyers and sellers in the sub-sample; this sub-sample will then be interviewed. Data will also be collected from national experts in this subject area and from State and local bodies which regulate providers of settlement services.

Authority for maintenance of the system: Sec. 14, Real Estate Settlement Procedures Act of 1974 (88 Stat. 1724), 12 U.S.C. 2613.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders and magnetic tape/disc/drum.

Retrievability: Name or address of subject;

Safeguards: Manual records stored in lockable file cabinets and desks in lockable rooms and computer facilities are in secured areas.

Access to both types of records are limited to authorized personnel.

Retention and disposal: All records will be maintained for five years until the end of 1983.

System manager(s) and address: Director, Housing and Demographic Analysis Division, TEH, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location in accordance with 24 CFR part 16. This location is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the headquarters location. This location is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Record source categories: Subject individual, mortgage lenders, title insurance firms, real estate agents, title abstractors, land surveyors and other providers of settlement services.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/PD&R-7

System name: Section 8 Program Research Data Files.

System location: Cambridge, Massachusetts.

Categories of individuals covered by the system: Families selected in a random sample of applicants to and certificate holders in the Section 8 Program.

Categories of records in the system: Name, address, household demographics (age, sex, race, income, handicapped status), condition of pre-program housing unit, program status information.

Authority for maintenance of the system: Sec. 501, 502, Housing and Urban Development Act of 1970 (Pub.L. 91-609), 12 U.S.C. 1701z-1, 1701z-2.

Routine uses of records maintained in the system, including categories of users and the purposes of such users:

A. To authorized social science researchers participating in the Moving to Opportunities for Fair Housing Demonstration Program (MTO) and in the Chicago Gautreaux Program.

B. To Abt Associates, and to other contractors selected by HUD to carry out the objectives of MTO-related research and evaluation.

C. To the Social Security Administration to verify income/wage data.

D. To the Internal Revenue Service to verify income data.

E. To the Illinois Department of Employment Security verify income/wage data for Section 8 certificate recipients in the Chicago CMSA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders and on magnetic tape/disc/drum.

Retrievability: Name, address.

Safeguards: Manual files will be kept in lockable cabinets in a secured area; computer records will be maintained in a separate secured area. Access to either type of record will be limited to authorized personnel.

Retention and disposal: All personal identifiers will be destroyed approximately four months after the system is created.

System manager(s) and address: Director, Housing Assistance Research Division, TRH Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence or records, contact the Privacy Act Officer at the Headquarters locations, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, Contact the Privacy Act Officer at the Headquarters location. This location is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the

individual concerned, appear information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/PD&R-8

System name: Income Certification Evaluation Data Files.

System location: Applied Management Science, Inc., Silver Spring, MD.

Categories of individuals covered by the system: Tenants of Section

8, Section 236, and Public Housing projects. Projects are selected randomly from a subset of all projects, tenants are selected randomly

from the set of all tenants of the projects thus sampled.

Categories of records in the system: Family identification (name, address, Social Security Number), household demographics (age, sex, family size, income and income sources, length of tenure), verification of income data.

Authority for maintenance of the system: Title V, Section 501 and 502 of the Housing and Community Development Act of 1970, Pub.L. 91-609.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See routine uses paragraphs of prefatory statement. Other routine uses: Applied Management Science, Inc.--to carry out objectives of study, Social Security Administration, Internal Revenue Service--to verify income data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: In file folders and on magnetic tape/disc/drum.

Retrievability: Name, address, Social Security Number.

Safeguards: Manual files will be kept in lockable cabinets in a secured area; computer records will be maintained in a separate secured area. Access to either type of record will be limited to authorized personnel.

Retention and disposal: All records will be destroyed at the completion of the study.

System manager(s) and address: Director, Evaluation Division, Department of Housing and Urban Development, 451 Seventh Street SW, Washington, DC 20410.

Notification procedure: For information, assistance, or inquiry about existence of records, contact the Privacy Act Officer at the Headquarters location, in accordance with 24 CFR part 16. This location is given in appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the Headquarter's location. This location is given in appendix A.

Contesting record procedures: The Department's rules for contesting

the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) In relation to contesting contents of records, the Privacy Act Officer at the Headquarters location. This location is given in appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

Record source categories: Subject, Income Sources.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/PD&R-9

System name:

HUD USER File for Research Products, Services and Publications.

System location:

HUD USER, PO Box 6091, Rockville, MD 20849

Categories of individuals covered by the system:

The system contains information on those individuals who have expressed an interest in received research products and services publications.

Categories of records in the system:

The system provides a record of individuals who request research products which includes name, title and address; telephone and fax numbers; organizations affiliation and areas of interest; publications of interest; and order information including what was ordered and when, and payment information.

Authority for maintenance of the system:

Title V of the Housing and Urban Development Act of 1970, section 501.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

None.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Hard copy files are stored at the HUD User Information Center for

a period of three (3) months after which time they are archived at the HUD User Warehouse in Annapolis Junction, Maryland. Electronic files are stored for an indefinite period at the HUD User

Information

Center as part of the HUD User Order Processing System.

Retrievability: Records are retrieved by the name of the individual.

Safeguards:

These records are available only to those persons whose official duties require such access.

Retention and disposal:

Written and electronic records are maintained for a period of three years.

System manager(s) and address:

Director, Research Utilization Division, 451 Seventh Street, SW.,
Room 8124, Washington, DC 20410.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this system of records should address written inquiries to the particular HUD administrator or component listed in the ``system manager'' location above.

Individuals should furnish full name, current address and telephone number.

Record access procedures:

The Department's rules for providing access to records to the individual concerned appear in 24 CFR part 16. If additional information or assistance is required, contact the Privacy Act Officer at the appropriate location or the system manager. A list of all locations is given in Appendix A.

Contesting record procedures:

The rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR part 16. If additional information or assistance is needed in relation to contesting the contents of records, it may be obtained by contacting the Privacy Act Officer at the appropriate location. A list of all locations is given in Appendix A. If additional information or assistance is needed in relation to appeals of initial denials, it may be obtained by contacting the HUD Departmental Privacy Appeals Officer, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

Record source categories:

Information in this system of records is obtained from requests for information made from HUD User or individuals identified to receive notification of new products or initiatives. The requests for

information or printed material may come through the Internet, phone, fax, mail, or a site visit.

Exemptions from certain provisions of the act:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/PIH-4

System name:

Public and Indian Housing Information Center (PIC).

System Location:

The files will be maintained at the following location: U. S. Department of Housing and Urban Development, 451 7th Street SW., Washington, DC 20410. Lockheed Martin Corporation, located at 4701 Forbes Blvd., Lanham, MD 20706, will monitor access of any encrypted files containing social security and rent information (subject to the provisions of 26 U.S.C. 6103).

Categories of individuals covered by the system:

Families receiving rental housing assistance via programs administered by the Department of Housing and Urban Development, state agencies, Indian Tribes, Tribally Designated Housing Entities participating in the Section 8 program, PHAs and/or owners and management agents.

Categories of records in the system:

Records consist of automated building, unit, and family composition, income, and rent data obtained from PHAs. The system of records contains--identification information such as names and social

security numbers for individuals 6 years and older; alien registration information; address and tenant unit numbers; financial data such as income, adjustments to income, tenant family composition

characteristics such as family size, sex of family members, information about the family that would qualify them for certain adjustments or for admission to a project limited to a special population (e.g., elderly, handicapped, or disabled); relationships of members of the household to the head of household (e.g., spouse, child); preferences applicable to the family at admission; income status at admission; race and ethnicity of household members; unit characteristics such as number of bedrooms; geographic data obtained by the PHA; data obtained from third parties to verify data supplied by an applicant or tenant to determine eligibility or level of assistance; data obtained from a state wage information collection agency on wages and claim information; and information on the results

of the follow-up phase of owner verifications or a computer match of tenant income (i.e., dollar amount of overpaid assistance, amount repaid, prosecution, termination of assistance, and termination of tenancy).

Also included in PIC are records on contractual agreements (e.g., obligations, payments, contract terms), financial information, and personal data (e.g., names, addresses, taxpayer identification numbers/ social security numbers) for PHAs and/or owners and management agents.

Authority for maintenance of the system:

Pursuant to the Stewart B. McKinney Homeless Assistance Amendments Act of 1988 and Section 303(i) of the Social Security Act,

HUD and HUD-funded public housing authorities may request wage and claim data from State Wage Information Collection Agencies (SWICAs) responsible for administering state unemployment laws. On October 1, 1994, Section 542(a)(1) of HUD's 1998 Appropriation Act, eliminated

a sunset provision to Section 303(i) of the Social Security Act, effectively making permanent the authority requiring state agencies

to disclose wage and claim information to HUD and public housing agencies. The Housing and Community Development Act of 1987 authorizes HUD to require applicants for and participants in (as well

as members of their households six years of age and older) HUD administered rental housing assistance programs to disclose to HUD their social security numbers as a condition of initial or

continuing

eligibility for participation in these HUD programs. The Omnibus Budget Reconciliation Act of 1993 (Budget Reconciliation Act) authorizes HUD to request from the Social Security Administration federal tax data as prescribed in section 6103 (1)(7) of title 26 of the United States Code (Internal Revenue Code).

Purpose(s):

The primary purpose of the PIC is to allow PHAs to electronically

submit information to HUD that is related to the administration of HUD's Public and Indian Housing programs. The first component of PIC was successfully implemented on December 15, 1999. PIC provides automated interactive support in an IIS/MTS/SQL Server environment for the Office of Public and Indian Housing staff. It collects data for PIH operations, including data submitted via the Internet from HUD's field offices and HUD's business partners, and accurately tracks activities and processes. PIC also helps to increase sharing of information throughout the Office of Public and Indian Housing, which improves staff awareness of activities related to the administration of HUD-subsidized housing programs. PIC is a

flexible,

scaleable, Internet-based integrated system, which enables PHA users and HUD personnel to access a common database of PHA information via their web browser. PIC will aid HUD and entities that administer HUD's assisted housing programs in: (a) Increasing the effective distribution of rental assistance to individuals that meet the requirements of Federal rental assistance programs, (b) detecting abuses in assisted housing programs, (c) taking administrative or legal actions to resolve past abuses of assisted housing programs, (d) deterring abuses by verifying the income of applicants and tenants at the time of occupancy and at re-certification via the use of electronic income data received from state wage-information collection agencies (SWICAs), one or more private vendors and, the Social Security Administration, (e) evaluating the effectiveness of income discrepancy resolution actions taken by PHAs, owners and management agents for HUD's rental assistance programs, (f) evaluating program effectiveness, (g) improving the reporting rate, (h) forecasting budgets, (i) controlling funds, and (j) updating building and unit data. PIC is a management information system that contains tools to help: (1) distribute capital and operating funds, (2) monitor the Event Tracking System (ETS) by HUD staff, (3)

produce

management reports, and (4) conduct risk assessments.

The Public and Indian Housing Information Center (PIC) serves as a repository for automated information used when comparing family income data reported--by recipients of Federal rental assistance--to income data received from external sources (e.g., SWICAs, SSA, etc.).

Records in PIC are subject to use in authorized and approved computer

matching programs regulated under the Privacy Act of 1974, as amended.

Routine uses of records maintained in the system, including Categories of Users and purposes of such uses:

In addition to the uses cited in the section of this document titled ``Purposes'', other routine uses may include:

1. To federal, state, and local agencies (e.g., state agencies administering the state's unemployment compensation laws, state welfare and food stamp agencies, U.S. Office of Personnel Management, U.S. Postal Service, U.S. Department of Defense, and U.S. Social Security Administration)--to verify the accuracy and completeness of the data provided, to verify eligibility or continued eligibility in HUD's rental assistance programs, and to aid in the identification of tenant errors, fraud, and abuse in assisted housing programs through HUD's tenant income computer matching program;
 2. To individuals under contract to HUD or under contract to another agency with funds provided by HUD--for the preparation of studies and statistical reports directly related to the management of HUD's rental assistance programs, to support quality control for tenant eligibility efforts requiring a random sampling of tenant files to determine the extent of administrative errors in making rent calculations, eligibility determinations, etc., and for processing certifications/re-certifications;
 3. To Public Housing Agencies (PHAs)--to verify the accuracy and completeness of tenant data used in determining eligibility and continued eligibility and the amount of housing assistance received;
 4. To private owners of assisted housing--to verify the accuracy and completeness of applicant and tenant data used in determining eligibility and continued eligibility and the amount of housing assistance received;
 5. To PHAs, owners and management agents, and contract administrators--to identify and resolve discrepancies in tenant data;
 6. To the Internal Revenue Service (IRS)--to report income using IRS Form 1099;
 7. To the Social Security Administration and Immigration and Naturalization Service--to verify alien status and continued eligibility in HUD's rental assistance programs; and 8. To researchers affiliated with academic institutions, with not-for-profit organizations, or with federal, state or local governments, or to policy researchers--without individual identifiers--name, address, social security number--for the performance of research and statistical activities on housing and community development issues.
- Policies and procedures for storing, retrieving, accessing, retaining, and disposing of records in the system:
- Storage:
- Records are stored manually in family case files and electronically in office automation equipment. Records are stored on HUD computer servers for field office and public housing agencies' access via the Internet to: (1) Obtain social security and supplemental security income data that are not subject to provisions of 26 U.S.C. 6103; and (2) update actions taken in resolving income discrepancies. Software in PIC precludes the transfer of any data

subject to 26 U.S.C. 6103 to unencrypted media.

Retrievability:

Records may be retrieved by manual or computer search of indices by the name or social security number of an existing HUD program participant.

Safeguards:

Records are maintained at the U.S. Department of Housing and Urban Development in Washington, DC with limited access to those persons whose official duties require the use of such records. Computer files and printed listings are maintained in locked cabinets. Computer terminals are secured in controlled areas, which are locked when unoccupied. Access to automated records is limited to authorized personnel who must use a password system to gain access. HUD will safeguard the SSN, income, and rent information obtained pursuant to 26 U.S.C. 6103(1)(7)(A) and (B) in accordance with 26 U.S.C. 6103(p)(4) and the IRS's ``Tax Information Security

Guidelines

for Federal, State and Local Agencies,'' Publication 1075 (REV 6/2000).

Retention and disposal:

Computerized family records are maintained in a password-protected environment. If information is needed for evidentiary purposes, documentation will be referred to the HUD Office of Inspector General (OIG) in Washington, DC or other appropriate Federal, state or local agencies charged with the responsibility of investigating or prosecuting violators of federal law. Documents referred to HUD's OIG will become part of OIG's Investigative Files. Records will be retained and disposed of in accordance with the General Records Schedule included in HUD Handbook 2228.2, appendix 14, item 25.

System manager(s) and address:

Johnson Abraham, Deputy Assistant Secretary for Administration and Budget/CFO and Project Manager of PIH's Information Center (PIC),
U.S. Department of Housing and Urban Development, 451 7th Street SW.,
Washington, DC 20410.

Notification procedure:

See Record access procedures.

Record access procedures:

Individuals seeking to determine whether this system of records contains information about them, or those seeking access to such records, should address inquiries to the Project Manager of PIH's Information Center (PIC), U.S. Department of Housing and Urban Development, 451 7th Street SW., Washington, DC 20410. Written requests must include the full name, Social Security Number, date of birth, current address, and telephone number of the individual making the request.

Contesting record procedures:

Procedures for the amendment or correction of records, and for applicants wanting to appeal initial agency determinations based on data in PIC, appear in 24 CFR part 16.

Record source categories:

The Office of Public and Indian Housing may receive data from HUD

field office staff, federal government agencies, state and local agencies, private data sources, owners and management agents, and public housing agencies. Public Housing Agencies (PHAs) routinely collect personal and income data from participants in and applicants for HUD's public and assisted housing programs. The data collected by

PHAs is entered into the PIC system on-line via the system itself, via PHA-owned software, or via HUD's Family Reporting Software (FRS).

Exemptions claimed for the system:

None.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/REAC-1

System name:

Tenant Eligibility Verification Files.

System Location:

The files will be maintained at the following locations: (1) U. S. Department of Housing and Urban Development, Real Estate Assessment Center, 1280 Maryland Avenue, SW, Suite 800, Washington, DC 20024-2635; (2) Chicago Technical Assistance Center, U.S. Department of Housing & Urban Development, Ralph H. Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, Illinois 60604; (3) Seattle Technical Assistance Center, U.S. Department of Housing & Urban Development, Seattle Federal Building, 909 First Avenue, Seattle, Washington 98104. Controls will be established at 1280 Maryland Avenue, SW, for any encrypted files containing SSA and IRS return information (subject to the provisions of 26 U.S.C. 6103) that

are created and used by REAC employees who will travel to the sites of housing agencies, owners and management agents.

Categories of individuals covered by the system:

Tenants receiving rental assistance provided by programs administered by the Department of Housing and Urban Development, state agencies, and POAs.

Categories of records in the system:

Records consist of: (1) Automated tenant data obtained from HUD/H-11, Tenant Housing Assistance and Contract Verification Data, published at 62 FR 11909; March 13, 1997, [two HUD automated systems--the Multifamily Tenant Certification System and the Tenant Rental Assistance Certification System--are the primary components of

HUD/H-11]; (2) automated tenant data provided by POAs [generally these records are available in HUD/H-11]; (3) information obtained from computer matching with automated earned income data that the Social Security Administration (SSA) provides under 26 U.S.C. 6103(1)(7)(A) from the Earnings Recording and Self-Employment Income System (HHS/SSA/OSR, 09-60-0059) (Earnings Record) and Master Beneficiary Record (HHS/SSA/OSR, 09-60-0090); (4) information

obtained from computer matching with automated unearned income data that the Internal Revenue Service (IRS) provides to HUD under 26 U.S.C. 6103(1)(7)(B) from Treasury/IRS 22.061, Wage and Information Returns Processing (IRP) File Treasury/IRS; (5) information obtained from computer matching with automated Title II (social security) and Title XVI (supplemental security income) data that the SSA provides to HUD under a routine use from the Supplemental Security Income Record, HHS/SSA/OSR 90-60-0103; (6) information obtained from computer matching with wage and unemployment compensation data from State wage information collection agencies; (7) information obtained from computer matching with automated data from the Office of Personnel Management's General Personnel Records (OPM/GOVT-1), and the Civil Service Retirement and Insurance Records System (OPM/Central-1) pursuant to a routine use; (8) information obtained from computer matching with automated data from the Department of Defense's Defense Manpower Data Center Data Base (S322.10.DMDC) pursuant to a routine use; (9) information obtained from computer matching with automated records from the SSA's Master Files of

Social

Security Number Holders, known as the Enumeration Verification System

(HHS/SSA/OSR, 09-60-0058) pursuant to a routine use; (10) applications for rental assistance and other related documentation obtained from tenant case files maintained by POAs; (11) data received from employers confirming income or deductions supporting determinations of eligibility for, and the amount of, rental assistance benefits; (12) automated records provided by other

Federal

agencies under the investigative exclusion of the Computer Matching and Privacy Protection Act of 1988; (13) automated records provided by POAs regarding actions taken on computer matching results; (14) automated records created by the REAC for use by POAs in recording the actions taken to resolve income differences noted by the

computer

matching and (15) correspondence or other documents received from tenants concerning potential income discrepancies.

Authority for maintenance of the system:

Subparagraph (D) of section 6103(1)(7) of the Internal Revenue Code 26 U.S.C. 6103(1)(7)(D), permits HUD to request from the Commissioner of the SSA and the Secretary of the Treasury, SSA and IRS earned and unearned income information, respectively, needed to verify the incomes of tenants who receive rental assistance. Section 6103(1)(7)(D) precludes HUD from redisclosing that information to entities that administer HUD programs (i.e. POAs). Section 542(b) of HUD's 1998 Appropriations Act (Pub. L. 105-65; October 27, 1997) eliminated a September 30, 1998 sunset provision to 26 U.S.C. 6103(1)(7)(D), effectively making permanent the authority for SSA

and

IRS disclosures of return information to HUD.

The Stewart B. McKinney Homeless Assistance Amendments Act of 1988, 42 U.S.C. 3544, as amended, allows HUD to notify POAs that discrepancies exist between the tenant-reported incomes and income obtained from independent income sources, i.e., the SSA or the IRS.

The McKinney Amendments of 1988 also authorized HUD to request, under

section 303(i) of the Social Security Act, wage and claim information

from state agencies responsible for the administration of state unemployment law. Section 542(a)(1) of HUD's 1998 Appropriation Act, referenced above, eliminated an October 1, 1994, sunset provision to section 303(i) of the Social Security Act, effectively making permanent the authority requiring state agencies to disclose wage and

claim information to HUD and public housing agencies.

Section 165 of the Housing and Community Development Act of 1987,

Public Law 100-242; authorizes HUD to require applicants and participants in HUD-administered programs involving rental assistance

to disclose to HUD their social security numbers as a condition of initial or continuing eligibility for participation. Subpart T of 24 CFR part 200 applies this requirement to member of households six (6)

years of age and older.

Applicable laws concerning HUD's assisted housing programs include: the United States Housing Act of 1937, 42 U.S.C. 1437 note; and section 101 of the Housing and Urban Development Act of 1965, 12 U.S.C. 1701s, and the Native American Housing Assistance and Self-Determination Act of 1996, 25 U.S.C. 4101, et seq.

Purpose(s):

The primary purposes of HUD/REAC-1 are to aid HUD and entities that administer HUD's assisted housing programs in: (a) Increasing the availability of rental assistance to individuals who meet the requirements of Federal rental assistance programs, (b) detecting abuses in assisted housing programs, (c) taking administrative or legal actions to resolve past abuses of assisted housing programs, (d) deterring abuses, and (e) evaluating the effectiveness of income discrepancy resolution actions taken by public housing agencies, owners and agents for HUD's rental assistance programs. HUD/REAC-1 serves as a repository for automated information used in and resulting from computer matching of tenant data for recipients of Federal rental assistance to other data sources; HUD/REAC-1 also contains non-automated information used in and resulting from verifying computer matching results and in accomplishing the purposes

previously cited. Records in this system are subject to use in authorized and approved computer matching programs regulated under the Privacy Act of 1974, as amended.

Routine uses of records maintained in the system, including Categories of Users and purposes of such uses:

For all routine uses, return information obtained from the Internal Revenue Service under 26 U.S.C. 6103(1)(7) may only be disclosed as provided by 26 U.S.C. 6103.

1. Records included in the system may be used in conducting computer matching with Federal and State agencies to aid in the identification of tenants who have received inappropriate (excessive or insufficient) rental housing assistance.

2. Records that HUD obtains from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed only as permitted

under 26 U.S.C. 6103, which limits disclosure to the tenant/taxpayer,

and to HUD employees whose duties require access for the purpose for which the disclosure to HUD was made.

3. Records other than return information obtained from the SSA and IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed

to the appropriate Federal, state or local agency charged with the responsibility for investigating or prosecuting a violation of law, whether criminal, civil or regulatory in nature, or enforcing or implementing a statute, rule or regulation.

4. Records other than return information obtained from the SSA and IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed

to a congressional office in response to an inquiry from that congressional office made at the request of the individual who is the

subject of the records.

5. Records other than return information obtained from the SSA and IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed

to POAs in order to assist them in determining tenants' eligibility for rental assistance, and the amount of that assistance and to facilitate recovery of money or property or other administrative actions (e.g., eviction), necessary to promote the integrity of programs.

6. Records other than return information obtained from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed during the course of an administrative proceeding where

HUD or POAs are a party to the litigation and disclosure is relevant and reasonably necessary to adjudicate the matter.

7. Records other than return information obtained from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

8. Records other than return information obtained from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), may be disclosed to a Federal agency to initiate Federal salary or annuity offsets as necessary to collect excessive rental assistance received by the tenant.

9. Records other than return information obtained from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), concerning an individual's receipt of excessive rental assistance, including the

individual's actions to repay the same, may be disclosed to the Federal agency that employs such individual, for the purpose of notifying the employer of potential violation of the Standards of Ethical Conduct for Employees of the Executive Branch.

10. Records other than return information obtained from the SSA and IRS under the authority of 26 U.S.C. 6103(1)(7), may be used to provide aggregate information on POAs' resolution efforts to the Contract

Administrators and internal HUD Offices for use in their mandated oversight responsibilities to ensure that POAs are providing appropriate rental assistance to eligible families and are resolving

discrepancies identified by HUD.

11. Records may be used to provide statistical information to Congress and the Office of Management and Budget for use in evaluating: the effectiveness of computer matching and income verification programs; program policies; and actions taken by entities that administer HUD's rental assistance programs to resolve income discrepancies identified through computer matching.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system:

Storage:

Records are stored manually in tenant case files and electronically in office automation equipment. Records other than return information obtained from the SSA and the IRS under the authority of 26 U.S.C. 6103(1)(7), may also be stored on mainframe computer facilities or computer servers for public housing agencies', owners' and agents' access via the Internet to: (1) Obtain social security and supplemental security income data that is not subject to provisions of 26 U.S.C. 6103, and (2) update actions taken in resolving income discrepancies. Records containing data subject to provisions of 26 U.S.C. 6103 may be stored in encrypted form on laptop computers that are taken to the sites of public housing agencies, owners and agents that administer HUD's rental assistance programs. Software precludes the transfer of any data subject to 26 U.S.C. 6103 to unencrypted media.

Retrievability:

Records may be retrieved by manual or computer search of indices by the name, social security number, or POA.

Safeguards:

Records are maintained in locked file cabinets or in metal file cabinets in secured rooms or premises with access limited to those persons whose official duties require access. Computer files and printed listings are maintained in locked cabinets. Computer terminals are secured in controlled areas which are locked when unoccupied. Access to automated records is limited to authorized personnel who must use a password system to gain access. HUD will safeguard the SSA and the IRS return information obtained pursuant to

26 U.S.C. 6103(1)(7)(A) and (B) in accordance with 26 U.S.C. 6103(p)(4) and the IRS's ``Tax Information Security Guidelines for Federal, State and Local Agencies,'' Publication 1075 (REV. 3/99).

Retention and disposal:

Only those computer files and printouts created from the computer matching that meet predetermined criteria are maintained. These records will be destroyed as soon as they have served the matching program's purpose. All other records will be destroyed as soon as possible within 1 year. Paper listings containing personal identifiers will be shredded. Computer source files provided by other organizations will be returned to those organizations or destroyed in accordance with computer matching agreements.

Information obtained through computer matching and tenant case file reviews will be destroyed as soon as follow-up processing of

this information is completed, unless the information is required for evidentiary reasons or needed by POAs for use in program eligibility determinations. When needed for evidentiary documentation, the information will be referred to the HUD Office of Inspector General (OIG) or other appropriate Federal, state or local agencies charged with the responsibility for investigating or prosecuting such violations. When referred to the HUD OIG the information then becomes a part of the Investigative Files of the Office of Inspector General, HUD/OIG-1.

System manager(s) and address:

Project Manager, Technical Assessment Sub-System, Real Estate Assessment Center, U.S. Department of Housing and Urban Development, 1280 Maryland Avenue, SW, Suite 800, Washington, DC 20024-2135.

Notification procedures:

Individuals seeking to determine whether this system of records contains information about themselves, or seeking access to such records, should address inquiries to the Project Manager, Technical Assessment Sub-System, Real Estate Assessment Center, U.S.

Department

of Housing and Urban Development, 1280 Maryland Avenue, SW, Suite 800, Washington, DC 20024-2635.

Written requests should contain the full name, Social Security Number, date of birth, current address and telephone number of the individual.

For personal visits, the individual must be able to provide some acceptable identification, such as a driver's license or other identification card.

Record access procedures:

Individuals seeking to determine whether this system of records contains information about themselves, or seeking access to such records, should address inquiries to the Project Manager, Technical Assessment Sub-System, Real Estate Assessment Center, U.S.

Department

of Housing and Urban Development, 1280 Maryland Avenue, SW, Suite 800, Washington, DC 20024-2635.

Written requests should contain the full name, Social Security Number, date of birth, current address and telephone number of the individual.

For personal visits, the individual must be able to provide some acceptable identification, such as a driver's license or other identification card.

Contesting record procedures:

The procedures for amendment or correction of records, and for appealing initial agency determinations, appear in 24 CFR part 16.

Record source categories:

The REAC receives automated tenant data from the Assistant Secretary for Public and Indian Housing and the Assistant Secretary for Housing. The Assistant Secretaries collect information from a variety of sources, including POAs. The REAC receives data from POAs concerning actions taken to resolve income differences noted by HUD. Additionally, the REAC also receives data from other Federal and state agencies, law enforcement agencies, program participants, complainants, and other non-governmental sources.

Exemptions From certain provisions of the act:

To the extent that information in this system of records falls within the coverage of subsection (k)(2) of the Privacy Act, 5 U.S.C.

552a(k)(2), the system is exempt from the requirements of subsections

(c)(3), (d)(1), (d)(2) and (e)(1) of the Privacy Act. To the extent that information in this system of records falls within the coverage of subsection (k)(5) of the Privacy Act, 5 U.S.C. 552a(k)(5), the system is exempt from the requirements of subsection (d)(1) of the Privacy Act. See 24 CFR 16.15 (c) and (d).

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/REAC-2

System name:

Independent Public Accountant Quality Assurance Files.

System location:

Headquarters.

Categories of individuals covered by the system:

All independent public accountants who have conducted audits of PHAs or FHA-insured, direct loan, HUD-held or assisted multifamily properties under HUD programs. An independent public accountant is defined as (a) a licensed, certified public accountant or a person working for a licensed certified public accounting firm, or (b) a public accountant licensed on or before December 31, 1970, or a person working for a public accounting firm licensed on or before December 31, 1970. The system also contains information by individual

name of the REAC auditors conducting the QAR, and may contain memorandums of the QAR results sent to HUD program officials.

Categories of records in the system:

The system contains the names and ID numbers of REAC auditors, and of IPAs who perform audits of PHAs or FHA-insured, direct loan, HUD-held, or assisted multifamily properties under HUD programs. Records consist of materials generated in connection with quality assurance reviews of the working papers of IPAs including information

from the FDS and the AFS submitted to HUD. These materials include QAR checklists, documentation of work performed by REAC auditors in evaluating the work of the IPA, interviews with IPAs, correspondence between REAC auditors and the IPA, and copies of work papers from

IPA

files and other documents used in evaluating an IPA's work performance to assure compliance with government and AICPA auditing standards. Other records include information regarding the planning, conduct and results of the QAR, trend analyses, internal legal assistance requests, information requests, responses to such requests, reports of findings, etc.

Authority for maintenance of the system:

OMB Circular A-133 (the Single Audit Act) requires that PHAs and non-profit organizations receiving federal funds obtain an IPA-performed audit. The AICPA has issued Statements of Position (SOP)

98-3 ``Audits of States, Local Governments, and Not-for-Profit Organizations Receiving Federal Awards'' to address the additional requirements of government auditing standards. Additional guidance is

offered in the HUD Consolidated Audit Guide for Audits of HUD Programs, HUD Handbook 2000.04 REV-2.

Purpose(s):

REAC performs a quality assurance review of the audited financial

statements submitted by IPAs in order to assure that the information contained in the financial statements is accurate and reliable and that the IPA's work was performed in accordance with government and AICPA auditing standards. In the event that records generated during the QAR process indicate a violation or potential violation of law, the relevant records may be disclosed to the appropriate federal, state or local disciplinary forum, or the AICPA, for investigation

or

enforcement of the applicable laws.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response

to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to HUD contractors, PHAs or management agents of HUD-assisted housing properties, in order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD.

4. Records may be disclosed during the course of an administrative proceeding where HUD is a party to the litigation and the disclosure is relevant, reasonable and necessary to adjudicate the matter.

5. Records may be disclosed to appropriate state boards of accountancy, or the AICPA, for possible administrative or disciplinary sanctions such as license revocation. These referrals will be made only after the IPA has been notified that HUD is contemplating disclosure of its findings to an appropriate state board of accountancy, or the AICPA, and the IPA has been provided with an opportunity to respond in writing to HUD's findings.

6. Records may be disclosed to the Department of Justice for litigation purposes associated with the representation of HUD before the courts.

7. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an Office of Inspector General investigation.

8. Records may be disclosed to the auditee to evaluate the

contractual relationship between the IPA and the PHA, owner or management agent of a FHA-insured, direct loan, HUD-held or assisted multifamily property.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored electronically in office automation equipment and manually in file jackets.

Retrievability:

Records may be retrieved by computer search using the AutoAudit software, and/or by reference to a particular file number, or by name, address, tax identification number or social security number of the IPA.

Safeguards:

Records are maintained in a secure computer network, and in locked file cabinets or in metal file cabinets in rooms with controlled access.

Retention and disposal:

The records are retained and disposed of in accordance with the General Records Schedule contained in HUD Handbook 2228.2, appendix 14, item 25.

System manager(s) and address:

Peter Bell, Real Estate Assessment Center, 1280 Maryland Avenue, SW, Suite 800, Washington, DC 20024.

Notification procedure:

For information, assistance, or inquiry about the existence of records, contact the Privacy Act Officer at HUD, 451 7th Street, SW, Room P8001, Washington, DC 20410, in accordance with the procedures in 24 CFR part 16.

Record access procedures:

The procedures for requesting access to records appear in 24 CFR parts 16 and 2003.

Contesting record procedures:

The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

Information may be collected from a wide variety of sources, including from HUD, program participants, subject individuals, complainants, witnesses and other non-government sources.

Exemptions from certain provisions of the act:

None.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

HUD/REAC-3

System name:

Quality Assurance/Quality Control Administrative Files of the Real Estate Assessment Center.

System location:

Headquarters.

Categories of individuals covered by the system:

All individuals who are qualified, and who have successfully completed HUD approved training in the use of the data collection device (DCD), UPCS software, and other requirements of the HUD inspection protocol; have successfully passed the test to be certified in the use of the HUD inspection protocol; and have received an inspector identification number and badge from the REAC. The system also covers individuals who have submitted an inspector application, and contains information by individual name of those REAC inspectors and contractors conducting the QA/QC.

Categories of records in the system:

Records may contain correspondence relating to inspector performance. Such correspondence will include periodic reports provided to contract inspection entities or persons who have contracted with HUD or servicing mortgagees to perform inspections, and servicing mortgagees whose employees are certified to conduct inspections. Correspondence may also include complaints about inspector performance or behavior received from owners, agents, servicing lenders or residents; reports of inspector performance that

may serve as the basis for appeals or technical reviews; Congressional inquiries; correspondence from Federal, state or local jurisdictions; or other documentation. Also, records consist of documentation regarding inspector qualifications. Such documentation will include inspector applications, resumes, substantiations of training courses attended, test results, etc.

Records also consist of the physical inspection reports prepared by the inspectors and the results of REAC's acceptance testing procedures. Records may include documentation of observations by REAC

QA/QC Inspectors in conjunction with and/or during the Collaborative Quality Assurance (CQA), Independent Quality Assurance (IQA) reviews,

or other quality assurance reviews. Other records may include information regarding the planning, conduct and results of the QA/QC process, trend analyses, internal legal assistance requests, information requests, responses to such requests, reports of findings, etc.

Authority for maintenance of the system:

Information on statutory authority of housing standards can be found in the United States Housing Act of 1937 (42 U.S.C. 1437, et seq.), and in the Cranston-Gonzalez National Affordable Housing Act (42 U.S.C. 12701, et seq.). Subpart G of 24 CFR Part 5 contains information on the uniform physical condition standards and physical inspection requirements for certain HUD housing. A final rule published December 8, 2000 (65 FR 77230), contains information on the

uniform physical condition standards and physical inspection requirements for multi-family housing. Information on the Public Housing Assessment System (PHAS) can be found at 24 CFR Part 902, as amended. OMB Circular A-123 (Management Accountability and Control) contains information on agency requirements to develop and implement strategies to ensure accountability and effectiveness of Federal programs. OMB Circular A-130, Appendix I (Federal Agency Responsibilities for Maintaining Records about Individuals) provides information on agency responsibilities for implementing the

reporting

and publication requirements of the Privacy Act. Additional

information on physical inspection requirements of HUD assisted or insured properties can be found in the HUD 2020 Management Reform Plan.

Purpose(s):

REAC performs the QA/QC process on inspectors and inspections of properties to assure that the physical inspections are conducted in accordance with the HUD protocol or other appropriate protocol and that the information is accurate and reliable. In the event that the records generated during the process of the review indicate a violation or potential violation of the law, relevant records may be disclosed to the appropriate Federal, state or local authority for investigation or enforcement of the applicable laws.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under subsection (b) of the Privacy Act of 1974, 5 U.S.C. 552a(b), records may also be disclosed routinely to other users under the following circumstances:

1. In the event that records indicate a violation or potential violation of law, whether criminal, civil or regulatory in nature, the relevant records may be disclosed to the appropriate Federal, state, or local agency charged with the responsibility for investigating or prosecuting such violation or enforcing or implementing such statute, rule or regulation.

2. Records may be disclosed to a congressional office in response

to an inquiry from that congressional office made at the request of the individual who is the subject of the records.

3. Records may be disclosed to any committee, subcommittee, or joint committee of Congress if the disclosure pertains to a matter within the legislative or investigative jurisdiction of the committee, subcommittee, or joint committee.

4. Records may be disclosed to HUD contractors or other entities who have entered into working agreements with the individual inspector for these inspection services, PHAs or management agents of

HUD-assisted housing properties, servicing mortgagees, or owners or agents of other properties, in order to assist such entities in taking action to recover money or property, where such recovery serves to promote the integrity of the programs or operations of HUD or other contracting Federal agency.

5. Records may be disclosed during the course of an administrative proceeding where HUD or other contracting Federal agency is a party to the litigation and the disclosure is relevant, reasonable and necessary to adjudicate the matter.

6. Records may be disclosed to the Department of Justice for litigation purposes associated with the representation of HUD or other contracting Federal agency before the courts.

7. Records may be disclosed to any source, either private or governmental, to the extent necessary to elicit information relevant to an Office of Inspector General investigation.

8. Records may be disclosed to the HUD contractor or other entity

who has entered into a working agreement with an individual inspector

for inspection services, in order to assist in evaluating the working

relationship between the individual inspector and the HUD contractor or other entity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored electronically in office automation equipment and manually in file jackets.

Retrievability:

Records may be retrieved by computer search and/or by reference to particular inspection number, inspector name, or by the inspector's HUD-issued identification number.

Safeguards:

Records are maintained in a secure computer network, and in locked file cabinets or in metal file cabinets in rooms with controlled access.

Retention and disposal:

The records are retained and disposed of in accordance with the General Records Schedule contained in HUD Handbook 2228.2, appendix 14, item 25.

System manager(s) and address:

Richard Santangelo, Real Estate Assessment Center, 1280 Maryland Avenue, SW., Suite 800, Washington, DC 20024.

Notification procedure:

The System Manager will accept inquiries from individuals seeking notification of whether the system contains records pertaining to them.

Record access procedures:

The procedures for requesting access to records appear in 24 CFR parts 16 and 2003.

Contesting record procedures:

The procedures for requesting amendment or correction of records appear in 24 CFR part 16.

Record source categories:

Information may be collected from a wide variety of sources, including from HUD, program participants, subject individuals, complainants, witnesses and other non-government sources.

Exemptions from certain provisions of the act:

None.

Appendix A--Officials to Receive Inquiries, Requests for Access and Requests for Correction or Amendment.

Headquarters

Privacy Act Officer, 451 Seventh Street, SW, Washington, DC 20410.

Region I

Regional Administrator-Regional Housing Commissioner, 10 Causeway Street, Room 375, Federal Building, Boston, Massachusetts 02222-1092.

Manager, 330 Main Street, 1st Floor, Hartford, Connecticut 06106-1860.

Manager, Norris Cotton Federal Building, 275 Chestnut Street, Manchester, New Hampshire 03101-2487.

Chief, Casco Northern Bank Building, 23 Main Street, 1st Floor,

Bangor, Maine 04401-4318.

Manager, Room 330, John O. Pastore Federal Building and U.S.

Post

Office, Kennedy Plaza, Providence, Rhode Island 02903-1785.

Chief, Federal Building, 11 Elmwood Avenue, Room B-31,
Burlington, Vermont 05402-0879.

Region II

Regional Administrator-Regional Housing Commissioner, 26 Federal
Plaza, New York, New York 10278-0068.

Manager, the Parkade Building, 519 Federal Street, Camden, New
Jersey 08103-9998.

Manager, Military Park Building, 60 Park Place, Newark, New
Jersey 07102-5504.

Manager, 465 Main Street, Lafayette Court, Buffalo, New York
14203-1780.

Manager, New San Juan Office Building, 159 Carlos E. Chardon
Avenue, San Juan, Puerto Rico 00918-1804.

Manager, Leo W. O'Brien Federal Building, North Pearl Street and
Clinton Avenue, Albany, New York 12207-2395.

Region III

Regional Administrator-Regional Housing Commissioner, Liberty
Square Building, 105 South 7th Street, Philadelphia, Pennsylvania
19106-3392.

Manager, HUD Building, 451 Seventh Street, SW, Room 3158,
Washington, District of Columbia 20410-5500.

Manager, the Equitable Building, 3rd Floor, 10 North Calvert
Street, Baltimore, Maryland 21202-1865.

Manager, Old Post Office Courthouse Building, 7th Avenue and
Grant Street, Pittsburgh, Pennsylvania 15219-1906.

Manager, 400 North Eighth Street, Richmond, Virginia 23240.

Chief, Federal Building, 844 King Street, Room 1304, Wilmington,
Delaware 19801-3519.

Manager, 405 Capitol Street, Suite 708, Charleston, West
Virginia
25301-1795.

Region IV

Regional Administrator-Regional Housing Commissioner, Richard B.
Russell Federal Building, 75 Spring Street, SW, Atlanta, Georgia
30303-3388.

Manager, Beacon Ridge Tower, 600 Beacon Parkway West,
Birmingham,
Alabama 35233-3144.

Manager, 325 West Adams Street, Jacksonville, Florida 32202-
4303.

Manager, PO Box 1044, 601 West Broadway, Louisville, Kentucky
40201-1044.

Manager, Doctor A. H. McCoy Federal Building, 100 West Capitol
Street, Room 910, Jackson, Mississippi 39269-1096.

Manager, 415 North Edgeworth Street, Greensboro, North Carolina
27401-2107.

Manager, Strom Thurmond Federal Building, 1835-45 Assembly
Street, Columbia, South Carolina 29201-2480.

Manager, 3rd Floor, John J. Duncan Federal Building, 710 Locust
Street, Knoxville, Tennessee 37902-2526.

Manager, Gables One Tower, 1320 South Dixie Highway, Coral
Gables, Florida 33146-2911.

Manager, 700 Twiggs Street, Room 527, PO Box 17910, Tampa,

Florida 33672-2910.

Manager, One Memphis Place, 200 Jefferson Avenue, Suite 1200, Memphis, Tennessee 38103-2335.

Manager, Cumberland Bend Drive, Suite 200, Nashville, Tennessee 37228-1803.

Manager, Langley Building, 3751 Maguire Boulevard, Suite 270, Orlando, Florida 32803-3032.

Region V

Regional Administrator-Regional Housing Commissioner, 626 West Jackson Boulevard, Chicago, Illinois 60606-5601.

Manager, 151 North Delaware Street, Indianapolis, Indiana 46205-2526

Manager, Patrick V. McNamara Federal Building, 477 Michigan Avenue, Detroit, Michigan 48226-2592.

Manager, 220 Second Street, South, Minneapolis, Minnesota 55401-2195.

Manager, 200 North High Street, Columbus, Ohio 43215-2499.

Manager, Henry S. Reuss Federal Plaza, 310 West Wisconsin Avenue,

Suite 1380, Milwaukee, Wisconsin 53203-2289.

Chief, 524 South Second Street, Suite 672, Springfield, Illinois 62701-1774.

Manager, Amitec Building-Local, 352 South Saginaw Street, Room 200, Flint, Michigan 48502-1953.

Manager, 2922 Fuller Avenue, NE, Grand Rapids, Michigan 49505-3499.

Manager, Federal Office Building, 550 Main Street, Cincinnati, Ohio 45202-3253.

Manager, One Playhouse Square, 1375 Euclid Avenue, Room 420, Cleveland, Ohio 44114-1670.

Region VI

Regional Administrator-Regional Housing Commissioner, 1600 Throckmorton, Post Office Box 2905, Fort Worth, Texas 76113-2905.

Manager, Lafayette Building, 523 Louisiana, Suite 200, Little Rock, Arkansas 72201-3707.

Manager, Fisk Federal Building, 1661 Canal Street, New Orleans, Louisiana 70112-2887.

Manager, 525 Griffin Street, Room 860, Dallas, Texas 75202-5007.

Manager, Washington Square, 800 Dolorosa Street, San Antonio, Texas 78207-4563.

Manager, Joe D. Waggoner Federal Building, 500 Fannin Street, Room 6B04, Shreveport, Louisiana 71101-3077.

Manager, 625 Truman Street, NE, Albuquerque, New Mexico 87100-6443.

Manager, Murrah Federal Building, 200 NW 5th Street, Oklahoma City, Oklahoma 73102-3202.

Manager, 1516 S. Boston Avenue, Suite 110, Tulsa, Oklahoma 74119-

4032.

Manager, Norfolk Tower, 2211 Norfolk, Suite 200, Houston, Texas 77098-4096.

Manager, Federal Office Building, 1205 Texas Avenue, Lubbock, Texas 79401-4093.

Region VII

Regional Administrator-Regional Housing Commissioner, Professional Building, 1103 Grand Avenue, Kansas City, Missouri 64106-2496.

Manager, 210 North Tucker Boulevard, St. Louis, Missouri 63101-1997.

Manager, Braiker/Brandeis Building, 210 South 16th Street, Omaha, Nebraska 68102-1622.

Manager, Federal Building, 210 Walnut Street, Room 239, Des Moines, Iowa 50309-2155.

Chief, Frank Carlson Federal Building, 444 SE Quincy Street, Room 256, Topeka, Kansas 66683-0001.

Region VIII

Regional Administrator-Regional Housing Commissioner, Executive Tower Building, 1405 Curtis Street, Denver, Colorado 80202-2349.

Manager, Federal Office Building Drawer 10095, 301 S. Park, Room 340, Helena, Montana 59626-0095.

Chief, Federal Building, PO Box 2483, 653 2nd Avenue North, Fargo, North Dakota 58108-2483.

Chief, 300 Building, 300 North Dakota Avenue, Suite 116, Sioux Falls, South Dakota 57102-0311.

Manager, 324 South State Street, Suite 220, Salt Lake City, Utah 84111-2321.

Chief, 4225 Federal Office Building, 100 East B Street, Post Office Box 580, Casper, Wyoming 82602-1918.

Region IX

Regional Administrator-Regional Housing Commissioner, Federal Building, 450 Golden Gate Avenue, Post Office Box 36003, San Francisco, California 94102-3448.

Manager, 1615 W. Olympic Boulevard, Los Angeles, California 90015-3801.

Manager, One North First Street, Suite 300, Post Office Box 13468, Phoenix, Arizona 85002-3468.

Manager, Pioneer Plaza, 100 North Stone Avenue, Suite 410, Tucson, Arizona 86701-1467.

Manager, 1630 East Shaw Avenue, Suite 138, Fresno, California 93710-8193.

Manager, 777 12th Street, Suite 200, Sacramento, California 95809-1997.

Manager, Federal Office Building, 880 Front Street, Room 5S3, San Diego, California 92188-0100.

Manager, 34 Civic Center Plaza, PO Box 12850, Santa Ana, California 92712-2850.

Manager, 300 Ala Moana Boulevard, Room 3318, Honolulu, Hawaii 96850-4991.

Manager, 1500 East Tropicana Avenue, 2nd Floor, Las Vegas, Nevada 89119-6516.

Manager, 1050 Bible Way, Post Office Box 4700, Reno, Nevada 89505-4700.

Region X

Regional Administrator-Regional Housing Commissioner, Arcade Plaza Building, 1321 Second Avenue, Seattle, Washington 98101-2058.

Manager, 520 Southwest Sixth Avenue, Portland, Oregon 97204-1596.

Manager, 222 West 8th Avenue, 64, Anchorage, Alaska 99513-7537.

Manager, FB/USCH, Box 042, 550 West Fort Street, Boise, Idaho 83724-0420.

Manager, 8th Floor East, Farm Credit Bank Building, West 601
First Avenue, Spokane, Washington 99204-0317.

Prefatory Statement of General Routine Uses

The following general routine uses apply to and are incorporated by reference into each system of records set forth below, except if otherwise noted or if obviously not appropriate.

1. It shall be a routine use of the records in this system of records to disclose them to the Department of Justice or other Federal agency conducting litigation when--

(a) Any of the following is a party to the litigation or has an interest in such litigation:

(i) The Office of Federal Housing Enterprise Oversight (OFHEO);
(ii) Any employee of OFHEO, in his/her official capacity;
(iii) Any employee of OFHEO, or any agency thereof, in his/her individual capacity where the Department of Justice has agreed to represent the employee;

(iv) The United States or any agency thereof, where OFHEO determines that litigation is likely to affect the United States;
and

(b) The use of such records by the Department of Justice or other

Federal agency conducting the litigation is deemed by OFHEO to be relevant and necessary to the litigation.

2. It shall be a routine use of the records in this system to disclose them in any proceeding before any court or adjudicative or administrative body when--

(a) Any of the following is a party to the proceeding or has an interest in such proceeding:

(i) OFHEO;
(ii) Any employee of OFHEO, in his/her official capacity;
(iii) Any employee of OFHEO, in his/her individual capacity,
where the Department of Justice has agreed to represent the employee;

(iv) The United States or any agency thereof where OFHEO determines that the proceeding is likely to affect the United States;
and

(b) OFHEO determines that use of such records is relevant and necessary in the proceeding.

3. In the event that a system of records maintained by OFHEO indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

4. A record from this system of records may be disclosed to a Federal, State, or local agency maintaining civil, criminal, or other relevant enforcement information or other pertinent information, if necessary to obtain information relevant to the decision concerning the hiring or retention of an employee or the letting of a contract.

5. A record from this system of records may be disclosed to a

Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

6. The information contained in this system of records may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in Office of Management and Budget Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

7. A record from this system of records may be disclosed to an authorized appeal grievance examiner; a formal complaints examiner; an equal employment opportunity investigator; or an arbitrator or other duly authorized official engaged in investigation or settlement of a grievance, complaint, or appeal filed by an employee. A record from this system of records may be disclosed to the Office of Personnel Management in connection with the evaluation and oversight of Federal personnel management.

8. A record from this system of records may be disclosed to authorized employees of a Federal agency for purposes of audit.

9. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

10. A record in this system of records may be disclosed to the Department of Justice to determine whether disclosure thereof is required by the Freedom of Information Act (5 U.S.C. 552).

11. A record in this system of records may be disclosed when the information is subject to exemption under the Freedom of Information Act, but OFHEO, in its discretion, determines not to assert the exemption.

12. A record from this system of records may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements and to those State and local taxing authorities for which the employee is subject to tax whether or not tax is withheld.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

Office of Federal Housing Enterprise Oversight

OFHEO-01

System name:

Financial Management System.

System location:

Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Categories of individuals covered by the system:

Current and former OFHEO employees and individuals who are providing or have provided goods or services to OFHEO under contractual agreements.

Categories of records in the system:

Records relate to employee claims for reimbursement of official travel expenses, including travel authorizations and advances, and vouchers showing amounts claimed, exceptions taken as a result of audit, advance balances applied, and amounts paid. Other records maintained on employees, where applicable, include records relating to claims for reimbursement for relocation expenses, including authorizations and advances, and vouchers showing amounts claimed and

amounts paid; records pertaining to reimbursement for educational expenses and other miscellaneous reimbursement for small purchases made for official business; records including the account number of the employee's Government American Express travel cards; records including the financial institution code and employee account number for direct deposit; and records relating to funds owed to OFHEO. Records on individuals who are not employees of OFHEO include information relating to the purchase of and payments made for goods or services from individuals, including the financial institution code and account number for direct deposit of payments.

Authority for maintenance of the system:

5 U.S.C. 5701-5709; 12 U.S.C. 4513(b)(9); 31 U.S.C. 3512.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See the Prefatory Statement of General Routine Uses. Another routine use is transmittal of data contained in the records to the U.S. Treasury to effect issuance of nonsalary payments to employees and payments to vendors and contractors;

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a computerized system and in paper files that are stored in file folders in locked file drawers.

Retrievability:

Computerized records are retrieved by the individual's name or by taxpayer identification number if the individual is a vendor or contractor. File folders are indexed by year and by a unique order number.

Safeguards:

Access to the system is safeguarded by password and user identification number that provides specific levels of access or by locked file drawers and is restricted to employees who have a need to access the system in the performance of their duties.

Retention and disposal:

Retention is determined by the General Records Schedules.

System manager(s) and address:

Financial Management Officer, Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Notification procedure:

Contact the Privacy Act Officer, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record access procedure:

The OFHEO regulation for providing access to records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Officer at OFHEO, 1700 G Street,

NW., Fourth Floor, Washington, DC 20552.

Contesting record procedures:

The procedures for contesting initial denials for access to or amendment of records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Appeals Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record source categories:

The information is obtained from the individual on whom the record is maintained, other Federal agencies, financial institutions, and courts.

Exemptions claimed for the system:

None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

Office of Federal Housing Enterprise Oversight

OFHEO-02

System name:

Pay and Leave System.

System location:

Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Categories of individuals covered by the system:

Current and former OFHEO employees.

Categories of records in the system:

Records include the following information on each OFHEO employee:

Name; organizational unit; leave status and associated leave data (such as annual, compensatory, jury duty, family, military, sick, donated, and leave without pay); and time and attendance records (including pay period number, leave accrual category, balances and applications, number of hours worked, time reports, adjustments to time and attendance, overtime and compensatory time justifications, and supporting data such as medical certificates).

Authority for maintenance of the system:

12 U.S.C. 4513(b)(9).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See the Prefatory Statement of General Routine Uses. Other routine uses are transmittal of data contained in the records to--

<bullet> The U.S. Treasury to effect issuance of salary payments through electronic funds transfer;

<bullet> The Internal Revenue Service, Social Security Administration, the individual, and taxing authorities of the States, the District of Columbia, territories, possessions, and local governments;

<bullet> The Office of Personnel Management concerning pay, benefits, retirement deductions, and other information necessary to carry on its governmentwide personnel functions, and to other Federal

agencies to facilitate employee transfers;

<bullet> The Department of Labor to process workers' compensation injury claims;

<bullet> Other Federal agencies for the purpose of collecting debts owed to the Federal Government by administrative or salary offset;

<bullet> The Federal Retirement Thrift Investment Board to administer the Thrift Savings Plan;

<bullet> The National Finance Center of the Department of Agriculture for payroll/personnel action, receipt amount, time and attendance, and administrative overpayment processing;

<bullet> Department of Veterans Affairs regarding the final accounting for employee pay and benefits;

<bullet> Federal, State, and local agencies to assist in the enforcement of child and spousal support obligations; and

<bullet> State governments, the District of Columbia, the Commonwealth of Puerto Rico, and the Virgin Islands to assist in processing unemployment claims under the Unemployment Compensation for Federal Employees Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a computerized system and in paper files that are stored in file folders in locked file drawers.

Retrievability:

Computerized records are retrieved by the individual's name.

File

folders are indexed by year and pay period number.

Safeguards:

Access to the system is safeguarded by password or by locked file

drawers and is restricted to employees who have a need to access the system in the performance of their duties.

Retention and disposal:

Retention is determined by the General Records Schedules.

System manager(s) and address:

Human Resources Officer, Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Notification procedure:

Fourth Contact the Privacy Act Officer, OFHEO, 1700 G Street, W., Floor, Washington, DC 20552.

Record access procedure:

The OFHEO regulation for providing access to records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Contesting record procedures:

The procedures for contesting initial denials for access to or amendment of records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Appeals Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record source categories:

The information is obtained from the subject individual, supervisor, timekeeper, official personnel records, previous

employers, other Federal agencies, National Finance Center, financial institutions, and courts. Where an employee is subject to a tax lien, a bankruptcy, or an attachment or a wage garnishment, information also is obtained from the appropriate taxing or judicial entity. Exemptions claimed for the system:
None.

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From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

Office of Federal Housing Enterprise Oversight

OFHEO-03

System name:

Employee Identification Card System.

System location:

Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Categories of individuals covered by the system:

Current OFHEO employees and contractor personnel who have been assigned an identification card.

Categories of records in the system:

Records include the individual's name, date of birth, social security number, photograph, identification card expiration date, and organization and status.

Authority for maintenance of the system:

12 U.S.C. 4513(b)(9).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See the Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a computerized system.

Retrievability:

Records are retrieved by the individual's name.

Safeguards:

Access to the system is safeguarded by password and is restricted

to employees who have a need to access the system in the performance of their duties.

Retention and disposal:

Retention is determined by the General Records Schedules.

Records

of employees and contractors are deleted from the system upon termination of employment or contract.

System manager(s) and address:

Human Resources Officer, Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Notification procedure:

Contact the Privacy Act Officer, OFHEO, 1700 G Street, W., Fourth

Floor, Washington, DC 20552.

Record access procedure:

The OFHEO regulation for providing access to records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Contesting record procedures:

The procedures for contesting initial denials for access to or amendment of records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Appeals Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record source categories:

The information is obtained from the individuals on whom the information is maintained and from the OFHEO Human Resources staff.

Exemptions claimed for the system:

None.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

Office of Federal Housing Enterprise Oversight

OFHEO-04

System name:

Property Inventory System.

System location:

Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Categories of individuals covered by the system:

Current and former OFHEO employees who have had property items assigned to them.

Categories of records in the system:

Records include the employee name, OFHEO organizational unit, office telephone number, pager number, room number, description of property item, and copies of signed custody receipts.

Authority for maintenance of the system:

12 U.S.C. 4513(b)(9); 40 U.S.C. 47, et seq..

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

See the Prefatory Statement of General Routine Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a computerized system and in paper files that are stored in file folders in locked file drawers.

Retrievability:

Computerized records are retrieved by the individual's name.

File

folders are indexed by property item.

Safeguards:

file

Access to the system is safeguarded by password or by locked drawers and is restricted to employees who have a need to access the system in the performance of their duties.

Retention and disposal:

Retention is determined by the General Records Schedules.

System manager(s) and address:

Contracting/Facilities Management Specialist, Office of Finance and Administration, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Notification procedure:

Contact the Privacy Act Officer, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record access procedure:

The OFHEO regulation for providing access to records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Contesting record procedures:

The procedures for contesting initial denials for access to or amendment of records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Appeals Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record source categories:

Information is obtained from the OFHEO Contracting/Facilities Management Specialist, Office of Finance and Administration, and from

subject individuals to whom property items are assigned.

Exemptions claimed for the system:

None.

<DOC>

From the Privacy Act Online via GPO Access [wais.access.gpo.gov]

Office of Federal Housing Enterprise Oversight

OFHEO-05

System name:

Senior Staff Biography System.

System location:

Office of Public Affairs, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Categories of individuals covered by the system:

Senior-level OFHEO employees.

Categories of records in the system:

Records include the employee's name and a description of the employee's education, experience, and professional accomplishments and affiliations.

Authority for maintenance of the system:

12 U.S.C. 4513(b)(9).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used for distribution to the media and to groups which request OFHEO staff as speakers or panel participants. The general routine uses set forth in the Prefatory Statement, above, are

not applicable to this system.

Policies and practices for storing, retrieving, accessing,

retaining, and disposing of records in the system:

Storage:

Records are stored in a computerized system.

Retrievability:

Records are retrieved by the individual's name.

Safeguards:

Access to the system is safeguarded by password.

Retention and disposal:

Records of employees are deleted from the system upon termination of employment.

System manager(s) and address:

Public Affairs Specialist, Office of Public Affairs, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Notification procedure:

Contact the Privacy Act Officer, OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record access procedure:

The OFHEO regulation for providing access to records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Contesting record procedures:

The procedures for contesting initial denials for access to or amendment of records appears at 12 CFR part 1720. If additional information or assistance is required, contact the Privacy Act Appeals Officer at OFHEO, 1700 G Street, NW., Fourth Floor, Washington, DC 20552.

Record source categories:

The information is obtained from the individual on whom the record is maintained.

Exemptions claimed for the system:

None.

Title 24-Housing and Urban Development

Subtitle A-Office of the Secretary, Department of Housing and Urban Development

PART 16--IMPLEMENTATION OF THE PRIVACY ACT OF 1974

Sec.

16.1 Purpose and statement of policy.

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Appendix A--Officials to receive inquiries, requests for access and requests for correction or amendment.

Authority: Department of Housing and Urban Development Act, Pub. L. 89-174 Sec. 7(d), 42 U.S.C. 3535(d), Privacy Act of 1974, Pub. L. 93-579, 5 U.S.C. 552(a).

Source: 40 FR 39729, Aug. 28, 1975, unless otherwise noted.

Nomenclature Changes: 42 FR 49811, Sept. 28, 1977.

Sec. 16.1 Purpose and statement of policy.

(a) The purpose of this part is to establish policies and procedures for implementing the Privacy Act of 1974 (Pub. L. 93-579), 5 U.S.C. 552(a). The main objectives are to facilitate full exercise of rights conferred on individuals under the Act and to insure the protection of privacy as to individuals about whom the Department maintains records in

systems of records under the Act. The Department accepts the responsibility to act promptly and in accordance with the Act upon receipt of any inquiry, request or appeal from a citizen of the United States or an alien lawfully admitted for permanent residence into the United States, regardless of the age of the individual.

(b) Further, the Department accepts the obligations to maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain that information with such accuracy, relevancy, timeliness and completeness as is reasonably necessary to assure fairness in determinations made by the Department about the individual, to obtain information from the individual to the extent practicable, and to take every reasonable step to protect that information from unwarranted disclosure. The Department will maintain no

record describing how an individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity.

(c) This part applies to all organizational components in the Department in order to assure the maximum amount of uniformity and consistency within the Department in its implementation of the Act.

(d) The Assistant Secretary for Administration shall be responsible for carrying out the requirements of this part, for issuing such orders and directives internal to the Department as are necessary for full compliance with the Act, and for effecting publication of all required notices concerning systems of records.

(e) Requests involving information pertaining to an individual which is in a record or file but not within the scope of a System of Records Notice published in the Federal Register are outside the scope of this part. Requests for departmental records will be considered to determine whether processing under this part, part 15, or both is most appropriate, notwithstanding the requester's characterization of the request, as follows:

(1) A Privacy Act request from an individual for records about that individual and not contained in a Privacy Act Records System shall be considered a Freedom of Information Act request and processed under HUD Freedom of Information Act regulations (24 CFR part 15) to the extent that the requester has provided the Department a reasonable description of the documents requested. When a request for records is so considered as a Freedom of Information Act request, the Privacy Act Officer shall promptly refer it to the head of the appropriate organizational unit in accordance with HUD FOIA Regulations and shall advise the requester that time of receipt for processing purposes will be the time when it is received by the appropriate official.

(2) A Freedom of Information Act request from an individual for records about that individual contained in a Privacy Act Records System shall be processed as follows:

(i) If the request in whole or in part contains a reasonable description of any HUD document, processing shall be carried out pursuant to HUD FOIA Regulations.

(ii) If the request in whole or in part does not contain a reasonable description of any HUD document, but does provide sufficient information

under HUD Privacy Act Regulations to undertake a Privacy Act Records System search, the Department will provide full access under HUD Privacy

Act Regulations. In this situation, the Department will comply with the deadlines for response set forth in the Privacy Act and HUD implementing

regulations. In that event, an explanation will be provided to the requester advising that the request did not contain a reasonable description of a particular document as required under the FOIA and offering to process the request under FOIA procedures upon receipt of additional information sufficient to constitute a ``reasonable description.''

(3) A Freedom of Information Act request from an individual for records about another individual contained in a Privacy Act Records System shall be processed as follows: When an exemption under subsection

(b) of FOIA is available, the Privacy Act governs the public interest determination under HUD FOIA Regulations (24 CFR 15.21) and compels the withholding of such documents unless (i) the subject of those records consents to their release or (ii) disclosure comes within one of the subsections of 5 U.S.C. 552a(b).

(4) A Privacy Act request from an individual for records about another individual shall be processed as follows:

Except as expressly permitted in this Part, requests by persons who are not the subject of a record contained in a Privacy Act Records System shall be outside the scope of this part. If the request satisfies

the Freedom of Information Act requirement that requested records be reasonably described, the Privacy Act Officer shall consider the requests as a Freedom of Information Act request and shall proceed as in

Sec. 16.1(e)(1) above.

Sec. 16.2 Definitions.

- (a) The definitions of 5 U.S.C. 552a apply in this part.
- (b) As used in this part:
 - (1) ``Act'' means the ``Privacy Act of 1974,'' Pub. L. 93-579.
 - (2) ``Privacy Act Officer'' means those officials, identified in appendix A to this part, or their designees, who are authorized to receive and act upon inquiries, requests for access, and requests for correction or amendment.
 - (3) ``Privacy Appeals Officer'' means the General Counsel.
 - (4) ``Department'' means the Department of Housing and Urban Development.
 - (5) ``Inquiry'' means a request by an individual that the Department determine whether it has any record in a system of records which pertains to that individual.
 - (6) ``Request for access'' means a request by an individual or guardian to inspect and/or copy and/or obtain a copy of a record which is in a particular system of records and which pertains to that individual.
 - (7) ``Request for correction or amendment'' means the request by an individual or guardian that the Department change (either by correction, addition or deletion) a particular record in a system of records which pertains to that individual.
 - (8) ``Appeal'' means the request by an individual that an initial denial of a request for access or correction or amendment by that individual be reviewed and reversed.

[40 FR 39729, Aug. 28, 1975, as amended at 41 FR 13917, Apr. 1, 1976]

Sec. 16.3 Procedures for inquiries.

- (a) Any individual, regardless of age, may submit an inquiry to the Department. The inquiry should be made either in person at the office of, or by mail addressed to, the appropriate Privacy Act Officer. Although oral requests may be honored, a requester may be asked to submit his request in writing. The envelope containing the request and the letter itself should both clearly indicate that the subject is a ``PRIVACY ACT INQUIRY''. If an individual believes the Department maintains a record pertaining to that individual but does not know which system of records might contain such a record and/or which organizational component of the Department maintains the system of records, assistance in person or by mail will be provided at the first address listed in Appendix A to this part.
- (b)(1) An inquiry should contain the following information:
 - (i) Name, address and telephone number of the individual making the request;
 - (ii) Name, address and telephone number of the individual to whom the record pertains, if the requesting individual is either the parent of a minor or the legal guardian of the individual to whom the record pertains;
 - (iii) A certified or authenticated copy of documents establishing parentage or guardianship;
 - (iv) Whether the individual to whom the record pertains is a citizen of the United States or an alien lawfully admitted for permanent residence in to the United States;

- (v) Name of the system of records, as published in the Federal Register;
- (vi) Location of the system of records, as published in the Federal Register;
- (vii) Such additional information as the individual knows will or believes might assist the Department in responding to the inquiry (for example, the individual's past or present relationship with the Department, e.g. mortgagor, contractor, employee, including relevant dates) and in verifying the individual's identity (for example, date of birth, place of birth, names of parents, place of work, dates of employment, position title, etc.);
- (viii) Date of inquiry; and,
- (ix) Individual's signature.

The Department reserves the right to require compliance with the identification procedures appearing at Sec. 16.4(d) where circumstances warrant.

(2) In compliance with 5 U.S.C. 552a (e)(3) each individual supplying the information in accordance with paragraph (b)(1) of this section hereby is informed that:

- (i) The authority authorizing solicitation of the information is 5 U.S.C. 552a, disclosure is voluntary, and no penalty is attached for failure to respond;
- (ii) The principal purpose for which the information is intended to be used is processing the inquiry under the Act;
- (iii) The routine uses which may be made of the information are the routine uses appearing as a prefatory statement to the Department's notice of systems of records published in the Federal Register; and,
- (iv) The effects of not providing all or any part of the information may delay, or in some cases make impossible, the Department's processing of the action on the request under the Act.

(3) If, having been made aware of the contents of paragraph (b)(2) of this section, an individual submits the information listed in paragraph (b)(1) of this section, he or she will be deemed to have made the submission on a purely voluntary and consensual basis.

(c) When an inquiry is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall make reasonable effort to identify, and promptly refer it to, the appropriate Privacy Act Officer and the time of receipt for processing purposes will be the time when it is received by the Privacy Act Officer.

(d) When an inquiry fails to provide necessary information as set forth in paragraph (b) of this section, the requester shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the Privacy Act Officer.

(e) Each inquiry received shall be acted upon promptly by the responsible Privacy Act Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days, the Privacy Act Officer shall send an acknowledgement during that period providing information on the status of the inquiry. The Privacy Act Officer may indicate that additional information would facilitate processing or that

further information is necessary to process the inquiry.

Sec. 16.4 Requests for access; requirements.

(a) Any individual, regardless of age, may submit to the Department a request for access to records of the Department. The request should be made either in person at the Office of, or by mail addressed to, the responsible Privacy Act Officer identified in appendix A to this part. Although oral requests may be honored, a requester may be asked to submit his request in writing. The envelope containing the request and the letter itself should both clearly indicate that the subject is a PRIVACY ACT REQUEST FOR ACCESS TO RECORDS.

(b) When a request for access to records is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall promptly refer it to the appropriate Privacy Act Officer and the time of receipt for processing purposes will be the time when it is received by that official.

(c) When a request for access to records fails to provide necessary information as set forth in paragraph (b) of this section the requester shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(d) The requirements for identification of individuals seeking access to records are as follows:

(1) In person. Each individual making a request in person shall be required to present satisfactory proof of identity. The means of proof, in the order of preference and priority, are:

(i) A document bearing the individual's photograph (for example, passport or military or civilian identification card);

(ii) A document bearing the individual's signature (for example, driver's license, social security card, unemployment insurance book, employer's identification card, national credit card and professional, craft or union membership card); and

(iii) A document bearing neither the photograph nor the signature of the individual (for example, a Medicaid card). In the event the individual can provide no suitable documentation of identity, the Department will require a signed statement asserting the individual's identity and stipulating that the individual understands the penalty provision of 5 U.S.C. 552a(i)(3). That penalty provision also appears at

Sec. 16.13(a). In order to avoid any unwarranted disclosure of an individual's records, the Department reserves the right to determine to its satisfaction whether proof of identity offered by any individual is adequate.

(2) Not in person. If the individual making a request does not appear in person before a Privacy Act Officer, the information set forth in Sec. 16.3(b)(1) and a certificate of a notary public or equivalent officer empowered to administer oaths must accompany the request. The certificate within or attached to the letter must be substantially in accord with the following text: City of ----- County of -----: ss ----- (name of individual), who affixed (his) (her) signature below in my presence, came before me, a -
----- (title), in and for the aforesaid County and State, this ----- day of -----, 19-- , and established (his) (her)

identity to my satisfaction. My commission expires -----

.
-----.

(signature)

If the request follows inquiry under Sec. 16.3, this should be indicated

in the request for access in order to facilitate processing.

(3) Parents of minors and legal guardians. An individual acting as the

parent of a minor or the legal guardian of the individual to whom a record pertains shall establish his or her personal identity in the same

manner prescribed in either paragraph (d)(1) or (2) of this section. In addition, such other individual shall establish his or her representative capacity of parent or legal guardian. In the case of the parent of a minor, the proof of identity shall be a certified or authenticated copy of the minor's birth certificate. In the case of a legal guardian of an individual who has been declared incompetent due to

physical or mental incapacity or age by a court of competent jurisdiction, the proof of identity shall be a certified or authenticated copy of the court's order. A parent or legal guardian may act only for a living individual, not for a decedent. A parent or legal guardian may be accompanied during personal access to a record by another individual, provided the provisions of Sec. 16.5(e) are satisfied.

(e) When the provisions of this part are alleged to have the effect of

impeding an individual in exercising his or her right to access, the Department will consider alternative suggestions from an individual making a request, regarding proof of identity and access to records.

(f) An individual shall not be required to state a reason or otherwise

justify his or her request for access to a record.

Sec. 16.5 Disclosure of requested information to individuals.

(a) Each request received shall be acted upon promptly by the responsible Privacy Act Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days due to unusual circumstances, the Privacy Act Officer shall send an acknowledgement during that period providing information on the status of the request and asking for such further information as may be necessary to process the request. ``Unusual circumstances'' shall include circumstances where

a search for and collection of requested records from inactive storage, field facilities or other establishments are required, cases where a voluminous amount of data is involved, instances where information on other individuals must be separated or expunged from the particular record, and cases where consultations with other agencies having a substantial interest in the determination of the request are necessary.

(b) Grant of access--(1) Notification. An individual shall be granted access to a record pertaining to him or her, except where the provisions

of Sec. 16.6 apply. The Privacy Act Officer shall notify the individual

of such determination and provide the following information:

- (i) The methods of access, as set forth in paragraph (b)(2) of this section;
- (ii) The place at which the record may be inspected;
- (iii) The earliest date on which the record may be inspected and the period of time that the records will remain available for inspection and/or the estimated date by which a copy of the record could be mailed and the estimate of fees pursuant to Sec. 16.12;
- (iv) The fact that the individual, if he or she wishes, may be accompanied by another individual during personal access, subject to procedures set forth in paragraph (e) of this section; and
- (v) Any additional requirements needed to grant access to a specific record.

(2) Methods of access. The following methods of access to records by an individual may be available depending on the circumstances of a given situation:

- (i) Inspection in person may be had in the office specified by the Privacy Act Officer granting access during hours indicated by the Privacy Act Officer;
- (ii) Transfer of records to a Federal facility more convenient to the individual may be arranged, but only if the Privacy Act Officer determines that a suitable facility is available, that the individual's access can be properly supervised at the facility, and that transmittal of the records to that facility will not unduly interfere with operations of the Department or involve unreasonable costs, in terms of both money and manpower; and
- (iii) Copies may be mailed at the request of the individual, subject to payment of the fees prescribed in Sec. 16.12. The Department, at its own initiative, may elect to provide a copy by mail, in which case no fee will be charged the individual.

(c) The Department shall supply such other information and assistance at the time of access as to make the record intelligible to the individual.

(d) The Department reserves the right to limit access to copies and abstracts of original records, rather than the original records. This election would be appropriate, for example, when the record is in an automated data media such as tape or disc, when the record contains information on other individuals, and when deletion of information is permissible under exemptions (for example, 5 U.S.C. 552a(k)(2)). In no event shall original records of the Department be made available to the individual except under the immediate supervision of the Privacy Act Officer or his designee. It is a crime to conceal, mutilate, obliterate, or destroy any record filed in a public office, or to attempt to do any of the foregoing, Title 18, United States Code, 2701(a).

(e) Any individual who requests access to a record pertaining to that individual may be accompanied by another individual of his or her choice. ``Accompanied'' includes discussion of the record in the presence of the other individual. The individual to whom the record pertains shall authorize the presence of the other individual by a signed and dated document which includes the name of the other individual and specifically describes the record to which access is sought. The other individual shall sign the authorization in the presence of the Privacy Act Officer. An individual shall not be required to state a reason or otherwise justify his or her decision to be

accompanied by another individual during personal access to a record.

Sec. 16.6 Initial denial of access.

(a) Grounds. Access by an individual to a record which pertains to that individual will be denied only upon a determination by the Privacy Act Officer that:

(1) The record is subject to an exemption under Sec. 16.14, Sec. 16.15

or to an exemption determined by another agency noticing the system of records;

(2) The record is information compiled in reasonable anticipation of a civil action or proceeding; or

(3) The individual unreasonably has failed to comply with the procedural requirements of this part.

(b) Notification. The Privacy Act Officer shall give notice of denial of access to records to the individual in writing and shall include the following information:

(1) The Privacy Act Officer's name and title or position;

(2) The date of the denial;

(3) The reasons for the denial, including citation to the appropriate section of the Act and/or this part;

(4) The individual's opportunities, if any, for further administrative consideration, including the identity and address of the appropriate Privacy Appeals Officer. If no further administrative consideration within the Department is available, the notice shall state that the denial is administratively final; and,

(5) If stated to be administratively final; and, within the Department, the individual's right to judicial review under 5 U.S.C. 552a(g)(1), as amended by 5 U.S.C. 552a(g)(5).

[40 FR 39729, Aug. 28, 1975, as amended at 42 FR 20297, Apr. 19, 1977]

Sec. 16.7 Administrative review of initial denial of access.

(a) Review shall be available only from a written denial of a request for access issued under Sec. 16.6(a) (2) or (3) and only if a written request for review is filed within thirty calendar days after the issuance of the written denial.

(b) A request for review shall be addressed to the Privacy Appeals Officer identified in the initial denial, which official is authorized to make final determinations. The envelope containing the request for review and the letter itself should both clearly indicate that the subject is a PRIVACY ACT REQUEST FOR REVIEW.

(c) When a request for review is misdirected by the requester, or not addressed as specified in paragraph (b) of this section, the Department official receiving same shall promptly refer it to the Privacy Appeals Officer and the time of receipt for processing purposes will be the time when it is received by the appropriate official.

(d) When a request for review fails to provide necessary information as set forth in paragraph (e) of this section, the requester shall be given reasonable opportunity to amend the request and shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate

official.

(e) The filing of a request for review may be accomplished by mailing to the Privacy Appeals Officer a copy of the request for access, if in writing; a copy of the written denial issued under Sec. 16.6; and a statement of the reasons why the initial denial is believed to be in error. The appeal shall be signed by the individual.

(f) No hearing will be allowed in connection with administrative review of an initial denial of access.

(g) The Privacy Appeals Officer shall act upon the appeal and issue a final determination in writing not later than thirty days (excluding Saturdays, Sundays and holidays) from the date on which the appeal is received; provided, that the Privacy Appeals officer may extend the thirty days upon deciding that a fair and equitable review cannot be made within that period, but only if the individual is advised in writing of the reason for the extension and the estimated date by which a final determination will issue, which estimated date should not be later than the sixtieth day (excluding Saturdays, Sundays and holidays) after receipt of the appeal unless there exist unusual circumstances, as described in Sec. 16.5(a).

(h) The decision after review will be in writing, will constitute final action of the Department on a request for access, and, if the denial of the request is in whole or part upheld, the Department shall notify the person making the request of his right to judicial review under 5 U.S.C. 552a(g)(1), as amended by 5 U.S.C. 552a(g)(5).

Sec. 16.8 Request for correction or amendment to record.

(a) Any individual, regardless of age, may submit to the Department a request for correction or amendment of a record pertaining to that individual. The request should be made either in person at the office of, or by mail addressed to, the Privacy Act Officer who processed the individual's request for access to the record. Although an oral request may be honored, a requester may be asked to submit his or her request in writing. The envelope containing the request and the letter itself should both clearly indicate that the subject is a PRIVACY ACT REQUEST FOR CORRECTION OR AMENDMENT.

(b) When a request for correction or amendment is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall make reasonable effort to identify, and promptly refer it to, the appropriate Privacy Act Officer and the time of receipt for processing purposes will be the time when it is received by the appropriate official.

(c) When a request for correction or amendment fails to provide necessary information as set forth in paragraph (e) of this section, the requester shall be given reasonable opportunity to answer the request and shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(d) Since the request, in all cases, will follow a request for access under Sec. 16.4, the individual's identity will be established by his or her signature on the request.

(e) A request for correction or amendment should include the following:

(1) A specific identification of the record sought to be corrected or amended (for example, description, title, date, paragraph, sentence, line and words);

(2) The specific wording to be deleted, if any;

(3) The specific wording to be inserted or added, if any, and the exact place at which it is to be inserted or added; and

(4) A statement of the basis for the requested correction or amendment, with all available supporting documents and materials which substantiate the statement.

(f) The provisions of Sec. 16.3(b) (2) and (3) apply to the information obtained under paragraph (e) of this section.

Sec. 16.9 Agency procedures upon request for correction or amendment of record.

(a)(1) Not later than ten days (excluding Saturdays, Sundays and holidays) after receipt of a request to correct or amend a record, the Privacy Act Officer shall send an acknowledgment providing an estimate of time within which action will be taken on the request and asking for such further information as may be necessary to process the request.

The

estimate of time may take into account unusual circumstances as described in Sec. 16.5(a). No acknowledgment will be sent if the request

can be reviewed, processed, and the individual notified of the results of review (either compliance or denial) within the ten days. Requests filed in person will be acknowledged at the time submitted.

(2) Promptly after acknowledging receipt of a request, or after receiving such further information as might have been requested, or after arriving at a decision within the time prescribed in Sec. 16.9(a)(1), the Privacy Act Officer shall either:

(i) Make the requested correction or amendment and advise the individual in writing of such action, providing either a copy of the corrected or amended record or a statement as to the means whereby the correction or amendment was effected in cases where a copy cannot be provided; or,

(ii) Inform the individual in writing that his or her request is denied and provide the following information:

(A) The Privacy Act Officer's name and title and position;

(B) The date of the denial;

(C) The reasons for the denial, including citation to the appropriate sections of the Act and this part; and,

(D) The procedures for appeal of the denial as set forth in Sec. 16.10, including the name and address of the Privacy Appeals Officer. The term ``promptly'' in this Sec. 16.9 means within thirty days (excluding Saturdays, Sundays and holidays). If the Privacy Act Officer cannot make the determination within thirty days, the individual

will be advised in writing of the reason therefor and of the estimated date by which the determination will be made.

(b) Whenever an individual's record is corrected or amended pursuant to a request by that individual, the Privacy Act Officer shall see to the notification of all persons and agencies to which the corrected or amended portion of the record had been disclosed prior to its correction

or amendment, if an accounting of such disclosure was made as required by the Act. The notification shall require a recipient agency

maintaining the record to acknowledge receipt of the notification, to correct or amend the record and to appraise any agency or person to which it had disclosed the record of the substance of the correction or amendment.

(c) The following criteria will be considered by the Privacy Act Officer in reviewing a request for correction or amendment:

- (1) The sufficiency of the evidence submitted by the individual;
- (2) The factual accuracy of the information;
- (3) The relevance and necessity of the information in terms of the purpose for which it was collected;
- (4) The timeliness and currency of the information in terms of the purpose for which it was collected;
- (5) The completeness of the information in terms of the purpose for which it was collected;
- (6) The possibility that denial of the request could unfairly result in determinations adverse to the individual;
- (7) The character of the record sought to be corrected or amended; and
- (8) The propriety and feasibility of complying with the specific means of correction or amendment requested by the individual.

(d) The Department will not undertake to gather evidence for the individual, but does reserve the right to verify the evidence which the individual submits.

(e) Correction or amendment of a record requested by an individual will be denied only upon a determination by the Privacy Act Officer that:

- (1) There has been a failure to establish, by the evidence presented, the propriety of the correction or amendment in light of the criteria set forth in paragraph (c) of this section;
- (2) The record sought to be corrected or amended was compiled in a terminated judicial, quasi-judicial, legislative or quasi-legislative proceeding to which the individual was a party or participant;
- (3) The information in the record sought to be corrected or amended, or the record sought to be corrected or amended, is the subject of a pending judicial, quasi-judicial or quasi-legislative proceeding to which the individual is a party or participant;
- (4) The correction or amendment would violate a duly enacted statute or promulgated regulation; or,
- (5) The individual unreasonably has failed to comply with the procedural requirements of this part.

(f) If a request is partially granted and partially denied, the Privacy Act Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

Sec. 16.10 Appeal of initial adverse agency determination on correction or amendment.

(a) Appeal shall be available only from a written denial of a request for correction or amendment of a record issued under Sec. 16.9, and only if a written appeal is filed within thirty calendar days after the issuance of the written denial.

(b) Each appeal shall be addressed to the Privacy Appeals Officer identified in the written denial. The envelope containing the appeal and

the letter itself should both clearly indicate that the subject is PRIVACY ACT APPEAL.

(c) When an appeal is misdirected by the requester, or not addressed as specified in paragraph (b) of this section, the Department official receiving same shall promptly refer it to the appropriate Privacy Appeals Officer and the time of receipt for processing purposes will be the time when it is received by the appropriate official.

(d) When an appeal fails to provide the necessary information as set forth in paragraph (e) of this section, the requester shall be advised that the time for receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(e) The individual's appeal papers shall include the following: A copy of the original request for correction or amendment; a copy of the initial denial; and a statement of the reasons why the initial denial is believed to be in error. The appeal shall be signed by the individual. The record which the individual requests be corrected or amended will be

supplied by the Privacy Act Officer who issued the initial denial. While

the foregoing normally will comprise the entire record on appeal, the Privacy Appeals Officer may seek additional information necessary to assure that the final determination is fair and equitable and, in such instances, the additional information will be disclosed to the individual to the greatest extent possible and an opportunity provided for comment thereon.

(f) No hearing on appeal will be allowed.

(g) The Privacy Appeals Officer shall act upon the appeal and issue a final Department determination in writing not later than thirty days (excluding Saturdays, Sundays and holidays) from the date on which the appeal is received; provided, that the Privacy Appeals Officer may extend the thirty days upon deciding that a fair and equitable review cannot be made within that period, but only if the individual is advised

in writing of the reason for the extension and the estimated date by which a final determination will issue (which estimated date should not be later than the sixtieth day (excluding Saturdays, Sundays and holidays) after receipt of the appeal unless unusual circumstances, as described in Sec. 16.5(a), are met).

(h) If the appeal is determined in favor of the individual, the final determination shall include the specific corrections or amendments to be

made and a copy thereof shall be transmitted promptly both to the individual and to the Privacy Act Officer who issued the initial denial.

Upon receipt of such final determination, the Privacy Act Officer promptly shall take the actions set forth in Sec. 16.9(a)(2)(i) and Sec. 16.9(b).

(i) If the appeal is denied, the final determination shall be transmitted promptly to the individual and shall state the reasons for the denial. The notice of final determination also shall inform the individual of the following information:

(1) The right of the individual to file a concise statement of reasons for disagreeing with the final determination. The statement ordinarily

should not exceed one page and the Department reserves the right to reject a statement of excessive length. Such a statement shall be filed with the Privacy Appeals Officer. It should identify the date of the final determination and be signed by the individual. The Privacy Appeals

Officer shall acknowledge receipt of such statement and inform the individual of the date on which it was received;

(2) The fact that any such disagreement statement filed by the individual will be noted in the disputed record and that a copy of the statement will be provided to persons and agencies to which the record is disclosed subsequent to the date of receipt of such statement;

(3) The fact that prior recipients of the disputed record will be provided a copy of any statement of the dispute to the extent that an accounting of disclosures, as required by the Act, was made;

(4) The fact that the Department will append to any such disagreement statement filed by the individual, a copy of the final determination or summary thereof which also will be provided to persons and agencies to which the disagreement statement is disclosed; and,

(5) The right of the individual to judicial review of the final determination under 5 U.S.C. 552a(g)(1)(A), as limited by 5 U.S.C. 552a(g)(5).

(j) In making the final determination, the Privacy Appeals Officer shall employ the criteria set forth in Sec. 16.9(c) and shall deny an appeal only on the grounds set forth in Sec. 16.9(e).

(k) If an appeal is partially granted and partially denied, the Privacy Appeals Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

(l) Although a copy of the final determination or a summary thereof will be treated as part of the individual's record for purposes of disclosure in instances where the individual has filed a disagreement statement, it will not be subject to correction or amendment by the individual.

(m) The provisions of Sec. 16.3(b) (2) and (3) apply to the information obtained under paragraphs (e) and (i)(1) of this section.

Sec. 16.11 Disclosure of record to person other than the individual
to whom it pertains.

(a) The Department may disclose a record pertaining to an individual to a person other than the individual only in the following instances:

(1) Upon written request by the individual, including authorization under Sec. 16.5(e);

(2) With the prior written consent of the individual;

(3) To a parent or legal guardian under 5 U.S.C. 552a(h); and,

(4) When required by the Act and not covered explicitly by the provisions of 5 U.S.C. 552a(b) ; and,

(5) When permitted under 5 U.S.C. 552a(b) (1) through (11), which read
as follows:

(1) To those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

(2) Required under section 552 of this title;

(3) For a routine use as defined in subsection (a)(7) and described

under subsection (e)(4)(D);

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

(5) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(b) The situations referred to in paragraph (a)(4) of this section include the following:

(1) 5 U.S.C. 552a(c)(4) requires dissemination of a corrected or amended record or notation of a disagreement statement by the Department in certain circumstances:

(2) 5 U.S.C. 552(a)(g) authorizes civil action by an individual and requires disclosure by the Department or the court;

(3) Sec. 5(e)(2) of the Act authorizes release of any records or information by the Department to the Privacy Protection Study Commission upon request of the Chairman; and

(4) Sec. 6 of the Act authorizes the Office of Management and Budget to provide the Department with continuing oversight and assistance in implementation of the Act.

(c) The Department shall make an accounting of each disclosure of any record contained in a system of records in accordance with 5 U.S.C. 552a(c) (1) and (2). Except for a disclosure made under 5 U.S.C. 552a(b)(7), the Privacy Act Officer shall make such accounting available

to any individual, insofar as it pertains to that individual, on request

submitted in accordance with Sec. 16.4. The Privacy Act Officer shall

make reasonable efforts to notify any individual when any record in a system of records is disclosed to any person under compulsory legal process, promptly upon being informed that such process has become a matter of public record.

Sec. 16.12 Fees.

(a) The only fees to be charged to or collected from an individual under the provisions of this part are for copying records at the request of the individual.

(1) No fees shall be charged or collected for the following: Search for and retrieval of the records; review of the records; copying at the initiative of the Department without a request from the individual; transportation of records and personnel; and first class postage.

(2) It is the policy of the Department to provide an individual with one copy of each record corrected or amended pursuant to his or her request without charge as evidence of the correction or amendment.

(3) As requested by the United States Civil Service Commission in its published regulations implementing the Act, the Department will charge no fee to an individual who requests copies of a personnel record covered by that Commission's Government-wide published notice of systems of records. However, when such records are voluminous and the cost of copying would be in excess of five dollars (\$5) the Department may, in its discretion, charge a fee.

(b) The copying fees prescribed by paragraph (a) of this section are:

\$0.10 Each copy of each page, up to 8 1/2" x 14" made by photocopy or similar process.

\$0.20 Each page of computer printout without regard to the number of carbon copies concurrently printed.

(c) Payment of fees under this section shall be made in cash, or preferably by check or money order payable to the ``Treasurer of the United States.'' Payment shall be delivered or sent to the office stated in the billing notice or, if none is stated, to the Privacy Act Officer processing the request. Payment may be required in the form of a certified check in appropriate circumstances. Postage stamps will not be accepted.

(d) A copying fee totaling \$1 or less shall be waived, but the copying fees for contemporaneous requests by the same individual shall be aggregated to determine the total fee. A copying fee shall not be charged or collected, or alternatively, it may be reduced when such action is determined by the Privacy Act Officer to be in the public interest.

(e) Special and additional services provided at the request of the individual, such as certification or authentication, postal insurance and special mailing arrangement costs, will be charged to the individual in accordance with other published regulations of the Department pursuant to statute (for example, 31 U.S.C. 433a).

(f) This section applies only to individuals making requests under

this part. All other persons shall remain subject to fees and charges prescribed by other and appropriate authorities.

[40 FR 39729, Aug. 28, 1975, as amended at 42 FR 29479, June 9, 1977]

Sec. 16.13 Penalties.

(a) The Act provides, in pertinent part:

Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretences shall be guilty of a misdemeanor and fined not more than \$5,000. (5 U.S.C. 552a(i)(3))

(b) A person who falsely or fraudulently attempts to obtain records under the Act may also be subject to prosecution under such other criminal statutes as 18 U.S.C. 494, 495 and 1001.

Sec. 16.14 General exemptions.

(a) Individuals may not have access to records maintained by the Department but which were provided by another agency which has determined by regulation that such information is subject to general exemption under 5 U.S.C. 552a(j). If such exempt records are within a request for access, the Department will advise the individual of their existence and of the name and address of the source agency. For any further information concerning the record and the exemption, the individual must contact that source agency.

(b) The Secretary of Housing and Urban Development has determined that the Office of the Assistant Inspector General for Investigation performs, as its principal function, activities pertaining to the enforcement of criminal laws. The records maintained by that office in a system identified as ``HUD/DEPT-24, Investigation Files,'' primarily consist of information compiled for the purpose of criminal investigations and are associated with identifiable individuals. Therefore, the Secretary has determined that this system of records shall be exempt, consistent with 5 U.S.C. 552a(j)(2), from all requirements of the Privacy Act except 5 U.S.C. 552a(b), (c) (1) and (2), (e)(4) (A) through (F), (e) (6), (7), (9), (10), and (11), and (i) unless elsewhere exempted.

[40 FR 39729, Aug. 28, 1975, as amended at 49 FR 20486, May 15, 1984]

Sec. 16.15 Specific exemptions.

Whenever the Secretary of Housing and Urban Development determines it to be necessary and proper, with respect to any system of records maintained by the Department, to exercise the right to promulgate rules to exempt such systems in accordance with the provisions of 5 U.S.C. 552a(k), each specific exemption, including the parts of each system to be exempted, the provisions of the Act from which they are exempted, and the justification for each exemption shall be published in the Federal Register as part of the Department's Notice of Systems of Records.

(a) Exempt under 5 U.S.C. 552a(k)(2) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H), (I), and (f). This exemption allows the Department to withhold records compiled for law enforcement purposes. The reasons for adopting this exemption are to prevent individuals, who are the subjects of investigation, from frustrating the investigatory process, to ensure the integrity of the investigatory process, to ensure the integrity of law enforcement activities, to prevent disclosure of investigative techniques, and to protect the confidentiality of sources of information. The names of systems correspond to those published in the Federal Register as part of the Department's Notice of Systems of Records.

(1) HUD/DEPT-15. Equal Opportunity Housing Complaints.

(2) HUD/DEPT-24. Investigation Files in the Office of the Inspector General.

(3) HUD/DEPT-25. Legal Action Files.

(b) Exempt under 5 U.S.C. 552(k)(5) from the requirements of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4), (G), (H), and (I), and (f). This exemption allows the Department to withhold records compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal contracts, or access to classified material. The reasons for

adopting this exemption are to insure the proper functioning of the investigatory process, to insure effective determination of suitability,

eligibility and qualification for employment and to protect the confidentiality of sources of information. The names of systems correspond to those published in the Federal Register as part of the Department's Notice of Systems of Records.

(1) HUD/DEPT-24. Investigation Files in the Office of the Inspector General.

(2) HUD/DEPT-25. Legal Action Files.

(c) The system of records entitled ``HUD/PIH-1, Tenant Eligibility Verification Files'' consists in part of investigatory material compiled

for law enforcement purposes. Relevant records will be used by appropriate Federal, state or local agencies charged with the responsibility for investigating or prosecuting violations of law. Therefore, to the extent that information in the system falls within the

coverage of subsection (k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), the system is exempt from the requirements of the following subsections of the Privacy Act, for the reasons stated below.

(1) From subsection (c)(3) because release of an accounting of disclosures to an individual who may be the subject of an investigation could reveal the nature and scope of the investigation and could result in the altering or destruction of evidence, improper influencing of witnesses, and other evasive actions that could impede or compromise the investigation.

(2) From subsection (d)(1) because release of the records to an individual who may become or has become the subject of an investigation could interfere with pending or prospective law enforcement proceedings, constitute an unwarranted invasion of the personal privacy of third

parties, reveal the identity of confidential sources, or reveal sensitive investigative techniques and procedures.

(3) From subsection (d)(2) because amendment or correction of the records could interfere with pending or prospective law enforcement proceedings, or could impose an impossible administrative and investigative burden by requiring the office that maintains the records to continuously retrograde its verifications of tenant eligibility attempting to resolve questions of accuracy, relevance, timeliness and completeness.

(4) From subsection (e)(1) because it is often impossible to determine relevance or necessity of information in pre-investigative early stages.

The value of such information is a question of judgment and timing; what

appears relevant and necessary when collected may ultimately be evaluated and viewed as irrelevant and unnecessary to an investigation. In addition, the Assistant Secretary for Public and Indian Housing, or investigators, may obtain information concerning the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, the Assistant Secretary for Public and Indian Housing, or investigators, should retain this information because it may aid in establishing patterns of unlawful activity and provide leads for other law enforcement agencies. Further, in obtaining the evidence, information may be provided which relates to matters incidental to the main purpose of the inquiry or investigation but which

may be pertinent to the investigative jurisdiction of another agency. Such information cannot readily be identified.

(d) The system of records entitled ``HUD/PIH, Tenant Eligibility Verification Files'' consists in part of material that may be used for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence. Therefore, to the extent that information in this system falls within the coverage of subsection (k)(5) of the Privacy Act, 5 U.S.C. 552a(k)(5), the system is exempt from the requirements of the following subsection of the Privacy Act, for the reasons stated below.

(1) From subsection (d)(1) because release would reveal the identity of a source who furnished information to the Government under an express promise of confidentiality. Revealing the identity of a confidential source could impede future cooperation by sources, and could result in harassment or harm to such sources.

[42 FR 49810, Sept. 28, 1977, as amended at 59 FR 9408, Feb. 28, 1995]

Appendix A--Officials To Receive Inquiries, Requests for Access and Requests for Correction or Amendment

Headquarters

Privacy Act Officer, 451 Seventh Street SW., Washington, DC 20410.

Region I

Regional Administrator-Regional Housing Commissioner, 10 Causeway Street, Room 375, Federal Building, Boston, Massachusetts 02222-1092.

Manager, 330 Main Street, 1st Floor, Hartford, Connecticut 06106-1860.

Manager, Norris Cotton Federal Building, 275 Chestnut Street, Manchester, New Hampshire 03101-2487.

Chief, Casco Northern Bank Building, 23 Main Street, 1st Floor, Bangor, Maine 04401-4318.

Manager, Room 330, John O. Pastore Federal Building and U.S. Post Office, Kennedy Plaza, Providence, Rhode Island 02903-1785.

Chief, Federal Building, 11 Elmwood Avenue, Room B-31, Burlington, Vermont 05402-0879.

Region II

Regional Administrator-Regional Housing Commissioner, 26 Federal Plaza, New York, New York 10278-0068.

Manager, The Parkade Building, 519 Federal Street, Camden, New Jersey 08103-9998.

Manager, Military Park Building, 60 Park Place, Newark, New Jersey 07102-5504.

Manager, 465 Main Street, Lafayette Court, Buffalo, New York 14203-1780.

Manager, New San Juan Office Building, 159 Carlos E. Chardon Avenue, San

Juan, Puerto Rico 00918-1804.

Manager, Leo W. O'Brien Federal Building, North Pearl Street and Clinton

Avenue, Albany, New York 12207-2395.

Region III

Regional Administrator-Regional Housing Commissioner, Liberty Square Building, 105 South 7th Street, Philadelphia, Pennsylvania 19106-3392.

Manager, HUD Building, 451 Seventh Street SW., Room 3158, Washington, District of Columbia 20410-5500.

Manager, The Equitable Building, 3rd Floor, 10 North Calvert Street, Baltimore, Maryland 21202-1865.

Manager, Old Post Office Courthouse Building, 7th Avenue and Grant Street, Pittsburgh, Pennsylvania 15219-1906.

Manager, 400 North Eighth Street, Richmond, Virginia 23240.

Chief, Federal Building, 844 King Street, Room 1304, Wilmington, Delaware 19801-3519.

Manager, 405 Capitol Street, Suite 708, Charleston, West Virginia 25301-1795.

Region IV

Regional Administrator-Regional Housing Commissioner, Richard B. Russell

Federal Building, 75 Spring Street, SW, Atlanta, Georgia 30303-3388.

Manager, Beacon Ridge Tower, 600 Beacon Parkway West, Birmingham, Alabama 35233-3144.

Manager, 325 West Adams Street, Jacksonville, Florida 32202-4303.
Manager, PO Box 1044, 601 West Broadway, Louisville, Kentucky 40201-1044.
Manager, Doctor A. H. McCoy Federal Building, 100 West Capitol Street, Room 910, Jackson, Mississippi 39269-1096.
Manager, 415 North Edgeworth Street, Greensboro, North Carolina 27401-2107.
Manager, Strom Thurmond Federal Building, 1835-45 Assembly Street, Columbia, South Carolina 29201-2480.
Manager, 3rd Floor, John J. Duncan Federal Building, 710 Locust Street, Knoxville, Tennessee 37902-2526.
Manager, Gables One Tower, 1320 South Dixie Highway, Coral Gables, Florida 33146-2911.
Manager, 700 Twiggs Street, Room 527, PO Box 17910, Tampa, Florida 33672-2910.
Manager, One Memphis Place, 200 Jefferson Avenue, Suite 1200, Memphis, Tennessee 38103-2335.
Manager, Cumberland Bend Drive, Suite 200, Nashville, Tennessee 37228-1803.
Manager, Langley Building, 3751 Maguire Boulevard, Suite 270, Orlando, Florida 32803-3032.

Region V

Regional Administrator-Regional Housing Commissioner, 626 West Jackson Boulevard, Chicago, Illinois 60606-5601.
Manager, 151 North Delaware Street, Indianapolis, Indiana 46204-2526.
Manager, Patrick V. McNamara Federal Building, 477 Michigan Avenue, Detroit, Michigan 48226-2592.
Manager, 220 Second Street, South, Minneapolis, Minnesota 55401-2195.
Manager, 200 North High Street, Columbus, Ohio 43215-2499.
Manager, Henry S. Reuss Federal Plaza, 310 West Wisconsin Avenue, Suite 1380, Milwaukee, Wisconsin 53203-2289.
Chief, 524 South Second Street, Suite 672, Springfield, Illinois 62701-1774.
Manager, Amitec Building-Local, 352 South Saginaw Street, Room 200, Flint, Michigan 48502-1953.
Manager, 2922 Fuller Avenue, NE, Grand Rapids, Michigan 49505-3499.
Manager, Federal Office Building, 550 Main Street, Cincinnati, Ohio 45202-3253.
Manager, One Playhouse Square, 1375 Euclid Avenue, Room 420, Cleveland, Ohio 44114-1670.

Region VI

Regional Administrator-Regional Housing Commissioner, 1600 Throckmorton,
Post Office Box 2905, Fort Worth, Texas 76113-2905.
Manager, Lafayette Building, 523 Louisiana, Suite 200, Little Rock, Arkansas 72201-3707.
Manager, Fisk Federal Building, 1661 Canal Street, New Orleans, Louisiana 70112-2887.
Manager, 525 Griffin Street, Room 860, Dallas, Texas 75202-5007.
Manager, Washington Square, 800 Dolorosa Street, San Antonio, Texas 78207-4563.
Manager, Joe D. Waggoner Federal Building, 500 Fannin Street, Room 6B04,

Shreveport, Louisiana 71101-3077.
Manager, 625 Truman Street, NE, Albuquerque, New Mexico 87100-6443.
Manager, Murrah Federal Building, 200 NW 5th Street, Oklahoma City,
Oklahoma 73102-3202.
Manager, 1516 S. Boston Avenue, Suite 110, Tulsa, Oklahoma 74119-4032.
Manager, Norfolk Tower, 2211 Norfolk, Suite 200, Houston, Texas 77098-
4096.
Manager, Federal Office Building, 1205 Texas Avenue, Lubbock, Texas
79401-4093.

Region VII

Regional Administrator-Regional Housing Commissioner, Professional
Building, 1103 Grand Avenue, Kansas City, Missouri 64106-2496.
Manager, 210 North Tucker Boulevard, St. Louis, Missouri 63101-1997.
Manager, Braiker/Brandeis Building, 210 South 16th Street, Omaha,
Nebraska 68102-1622.
Manager, Federal Building, 210 Walnut Street, Room 239, Des Moines,
Iowa
50309-2155.
Chief, Frank Carlson Federal Building, 444 SE Quincy Street, Room 256,
Topeka, Kansas 66683-0001.

Region VIII

Regional Administrator-Regional Housing Commissioner, Executive Tower
Building, 1405 Curtis Street, Denver, Colorado 80202-2349.
Manager, Federal Office Building Drawer 10095, 301 S. Park, Room 340,
Helena, Montana 59626-0095.
Chief, Federal Building, PO Box 2483, 653 2nd Avenue North, Fargo,
North
Dakota 58108-2483.
Chief, 300 Building, 300 North Dakota Avenue, Suite 116, Sioux Falls,
South Dakota 57102-0311.
Manager, 324 South State Street, Suite 220, Salt Lake City, Utah 84111-
2321.
Chief, 4225 Federal Office Building, 100 East B Street, Post Office Box
580, Casper, Wyoming 82602-1918.

Region IX

Regional Administrator-Regional Housing Commissioner, Federal Building,
450 Golden Gate Avenue, Post Office Box 36003, San Francisco,
California 94102-3448.
Manager, 1615 W. Olympic Boulevard, Los Angeles, California 90015-3801.
Manager, One North First Street, Suite 300, Post Office Box 13468,
Phoenix, Arizona 85002-3468.
Manager, Pioneer Plaza, 100 North Stone Avenue, Suite 410, Tucson,
Arizona 86701-1467.
Manager, 1630 East Shaw Avenue, Suite 138, Fresno, California 93710-
8193.
Manager, 777 12th Street, Suite 200, Sacramento, California 95809-1997.
Manager, Federal Office Building, 880 Front Street, Room 5S3, San
Diego,
California 92188-0100.
Manager, 34 Civic Center Plaza, PO Box 12850, Santa Ana, California
92712-2850.

Manager, 300 Ala Moana Boulevard, Room 3318, Honolulu, Hawaii 96850-4991.
Manager, 1500 East Tropicana Avenue, 2nd Floor, Las Vegas, Nevada 89119-6516.
Manager, 1050 Bible Way, Post Office Box 4700, Reno, Nevada 89505-4700.

Region X

Regional Administrator-Regional Housing Commissioner, Arcade Plaza Building, 1321 Second Avenue, Seattle, Washington 98101-2058.
Manager, 520 Southwest Sixth Avenue, Portland, Oregon 97204-1596.
Manager, 222 West 8th Avenue, #64, Anchorage, Alaska 99513-7537.
Manager, FB/USCH, Box 042, 550 West Fort Street, Boise, Idaho 83724-0420.
Manager, 8th Floor East, Farm Credit Bank Building, West 601 First Avenue, Spokane, Washington 99204-0317.

PART 1720--IMPLEMENTATION OF THE PRIVACY ACT OF 1974

Sec.

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- 1720.2 Definitions.
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- 1720.4 Decision to grant or deny requests for access to individual records.
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- 1720.9 Appeals of the initial decision to deny access to or amendment of individual records.
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- 1720.17 Penalties.

Authority: 5 U.S.C. 552a, 12 U.S.C. 4513(b).
Source: 63 FR 8844, Feb. 23, 1998.

Sec. 1720.1 Scope.

(a) This part 1720 sets forth the procedures by which an individual may request access to records about him/her that are maintained by the Office of Federal Housing Enterprise Oversight (OFHEO) in a designated system of records, amendment of such records, or an accounting of disclosures of such records. This part 1720 implements the provisions of the Privacy Act of 1974, as amended (Privacy Act) (5 U.S.C. 552a).

(b) A request from an individual for a record about that individual that is not contained in an OFHEO designated system of records will be considered to be a Freedom of Information Act (FOIA) (5 U.S.C. 552)

request and will be processed under the FOIA.

Sec. 1720.2 Definitions.

For the purposes of this part 1720--

Amendment means any correction of, addition to, or deletion from a record.

Designated system of records means a system of records that OFHEO has listed and summarized in the Federal Register pursuant to the requirements of 5 U.S.C. 552a(e).

Individual means a natural person who is either a citizen of the United States of America or an alien lawfully admitted for permanent residence.

Maintain includes collect, use, disseminate, or control.

Privacy Act Appeals Officer means the OFHEO employee who has been delegated the authority to determine Privacy Act appeals.

Privacy Act Officer means the OFHEO employee who has been delegated the authority to determine Privacy Act requests.

Record means any item, collection, or grouping of information about an individual that is maintained by OFHEO and that contains his/her name, or the identifying number, symbol, or other identifying particular assigned to the individual.

Routine use, with respect to disclosure of a record, means the use of such record for a purpose that is compatible with the purpose for which it was created.

Statistical Record means a record in a system of records maintained only for statistical research or reporting purposes and not used, in whole or in part, in making any determination about an identifiable individual, except as provided by 13 U.S.C. 8.

System of records means a group of records under the control of OFHEO from which information is retrieved by the name of the individual or some identifying number, symbol, or other identifying particular assigned to the individual.

Sec. 1720.3 Requests for access to individual records.

(a) Any individual may request records about him/her that are maintained by OFHEO.

(b) The procedures for submitting requests are as follows:

(1) If the records are contained in a governmentwide system of records of the U.S. Office of Personnel Management (OPM), the request must be submitted as prescribed by the regulations of OPM (5 CFR part 297).

(2) If the records are contained in a record in a system of records of another Federal agency, the request must be submitted as prescribed in the Federal Register Privacy Act notice for the specific governmentwide system.

(3) If the records are contained in a system of records of OFHEO, the request must be submitted in writing to the Privacy Act Officer, Office of Federal Housing Enterprise Oversight, 1700 G Street, NW., Fourth Floor, Washington, DC 20552. The written request should describe the records sought and identify the designated systems of records in which such records may be contained. (A copy of the designated systems of records published by OFHEO in the Federal Register is available upon request from the Privacy Act Officer.) No individual shall be required

to state a reason or otherwise justify a request for access to records about him/her.

Sec. 1720.4 Decision to grant or deny requests for access to individual records.

(a) Basis for the decision. The Privacy Act Officer shall grant access to records upon receipt of a request submitted under Sec. 1720.3(b)(3), unless the records--

(1) Were compiled in reasonable anticipation of a civil action or proceeding; or

(2) Require special procedures for medical records provided for in Sec. 1720.5.

(b) Notification procedures. (1) Within 20 business days of receipt of a request submitted under Sec. 1720.3(b)(3), the Privacy Act Officer shall send a written acknowledgment of receipt to the requesting individual.

(2) As soon as reasonably possible, normally within 20 business days following receipt of the request, the Privacy Act Officer shall send a written notification that informs the individual whether the requested records exist and, if the requested records exist, whether access is granted or denied, in whole or in part.

(c) Access procedures. If access is granted, in whole or in part, the Privacy Act Officer shall provide the individual with a reasonable period of time to inspect the records at OFHEO during normal business hours or shall mail a copy of the requested records to the individual.

(d) Denial procedures. If access is denied, in whole or in part, the Privacy Act Officer shall inform the individual of the reasons for the denial and of the right to appeal the denial, as set forth in Sec. 1720.9.

Sec. 1720.5 Special procedures for medical records.

The Privacy Act Officer shall grant access to medical records to the requesting individual to whom the medical records pertain. However, if, in the judgment of OFHEO, such direct access may have an adverse effect on that individual, the Privacy Act Officer shall transmit the medical records to a licensed medical doctor named by the individual.

Sec. 1720.6 Requirements for verification of identity.

(a) Written requests submitted in person. Any individual who submits in person a written request under this part, may be required to present two forms of identification, such as an employment identification card, driver's license, passport, or other document typically used for identification purposes. One of the two forms of identification must contain the individual's photograph and signature.

(b) Other written requests. Any individual who submits, other than in person, a written request under this part may be required to provide either one or both of the following:

(1) Minimal identifying information, such as full name, date and place of birth, or other personal information.

(2) At the election of the individual, either a certification of a duly commissioned notary public of any State or territory or the

District of Columbia attesting to the requesting individual's identity or an unsworn declaration subscribed to as true under penalty of perjury under the laws of the United States of America.

Sec. 1720.7 Requests for amendment of individual records.

(a) Procedures for requesting amendment of a record. Any individual may request amendment of any record about him/her that the individual believes is not accurate, relevant, timely, or complete. To request amendment, the individual must submit a written request to the Privacy Act Officer, Office of Federal Housing Enterprise Oversight, 1700 G Street, NW., Fourth Floor, Washington, DC 20552. The request should include--

- (1) The reason for requesting the amendment;
- (2) A description of the record, or portion thereof, including the name of the appropriate designated system of records, sufficient to enable the Privacy Act Officer to identify the particular record or portion thereof; and
- (3) If available, a copy of the record, or portion thereof, on which the specific portion requested to be amended is notated.

(b) Requirement for identifying information. The Privacy Act Officer may require the individual making the request for amendment to provide the identifying information specified in Sec. 1720.6.

Sec. 1720.8 Decision to grant or deny requests for amendment of individual records.

(a) Notification procedures. Within 10 business days following receipt of a request for amendment of records, the Privacy Act Officer shall send a written acknowledgment of receipt to the requesting individual. As soon as reasonably possible, normally within 30 business days from the receipt of the request for amendment, the Privacy Act Officer shall send a written notification to the individual that informs him/her of the decision to grant or deny, in whole or in part, the request for amendment.

(b) Amendment procedures. If the request is granted, in whole or in part, the requested amendment shall be made to the subject record. A copy of the amended record shall be provided to all prior recipients of the subject record in accordance with Sec. 1720.12(b).

(c) Denial procedures. If the request is denied, in whole or in part, the Privacy Act Officer shall include in the written notification the reasons for the denial and an explanation of the right to appeal the denial, as set forth in Sec. 1720.9.

Sec. 1720.9 Appeals of the initial decision to deny access to or amendment of individual records.

Any individual may appeal the initial denial, in whole or in part, of a request for access to or amendment of his/her record. To appeal, the individual must submit a written appeal, within 30 business days following receipt of written notification of denial, to the Privacy Act Appeals Officer, Office of Federal Housing Enterprise Oversight, 1700 G Street, NW., Fourth Floor, Washington, DC 20552. Both the envelope and the appeal request should be marked ``Privacy Act Appeal.'' The appeal should include--

(a) The information specified for requests for access in Sec. 1720.3(b)(3) or for requests for amendment in Sec. 1720.7, as appropriate;

(b) A copy of the initial denial notice; and

(c) Any other relevant information for consideration by the Privacy Act Appeals Officer.

Sec. 1720.10 Decision to grant or deny appeals.

(a) Notification of decision. Within 30 business days following receipt of the appeal, the Privacy Act Appeals Officer shall send a written notification of the decision to grant or deny to the individual making the appeal. The Privacy Act Appeals Officer may extend the 30-day

notification period for good cause. If the time period is extended, the Privacy Act Appeals Officer shall inform in writing the individual making the appeal of the reason for the extension and the expected date of the final decision.

(b) Appeal granted. If the appeal for access is granted, in whole or in part, the Privacy Act Appeals Officer shall provide the individual with reasonable time to inspect the requested records at OFHEO during normal business hours or mail a copy of the requested records to the individual. If the appeal for amendment is granted, in whole or in part,

the requested amendment shall be made. A copy of the amended record shall be provided to all prior recipients of the subject record in accordance with Sec. 1720.12(b).

(c) Appeal denied. If the Privacy Act Appeals Officer denies, in whole or in part, the appeal for access or amendment, he/she shall include in the written notification of the reasons for the denial an explanation of

the right to seek judicial review of the final decision, and, with respect to an appeal for amendment, the right to submit a statement of disagreement under paragraph (d) of this section.

(d) Statements of disagreement and explanation. (1) Upon receipt of a decision to deny, in whole or in part, the appeal for amendment of records, the individual may file a statement with the Privacy Act Appeals Officer that sets forth his/her reasons for disagreeing with the

decision. The Privacy Act Appeals Officer shall attach the statement of disagreement to the record that is the subject of the request for amendment. In response to the statement of disagreement, the Privacy Act

Appeals Officer has the discretion to prepare a statement that explains why the requested amendment was not made. If prepared, the statement of explanation shall be attached to the subject record and a copy of the statement provided to the individual who filed the statement of disagreement.

(2) The Privacy Act Appeals Officer shall provide a copy of any statement of disagreement, and may provide any statement of explanation, to prior recipients of the subject record in accordance with Sec. 1720.12(b).

(e) Right to judicial review. If OFHEO does not comply with the notification procedures under paragraph (a) of this Sec. 1720.10 with respect to an appeal for amendment of records, the appealing individual

may bring a civil action against OFHEO in the appropriate district court of the United States, as provided for under 5 U.S.C. 552a(g)(1)(A) and 552a(g)(5) before receiving the written notification of the decision.

Sec. 1720.11 Disclosure of individual records to other persons or agencies.

(a) OFHEO may disclose a record to a person or agency other than the individual about whom the record pertains only under one or more of the following circumstances:

- (1) If requested and authorized in writing by the individual.
- (2) With the prior written consent of the individual.
- (3) If such disclosure is required under the Freedom of Information Act.
- (4) For a routine use, as defined in Sec. 1720.2, with respect to a designated system of records as described by OFHEO in its notice of systems of records published in the Federal Register.
- (5) Pursuant to the order of a court of competent jurisdiction.
- (6) To the following persons or agencies--
 - (i) Officers and employees of OFHEO who have a need for the record in the performance of their duties;
 - (ii) The Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13 of the United States Code;
 - (iii) A recipient who has provided OFHEO with advance, adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;
 - (iv) The National Archives and Records Administration as a record which has sufficient historical or other value to warrant its continued preservation by the U.S. Government, or for evaluation by the Archivist of the United States to determine whether the record has such value;
 - (v) An agency or an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to OFHEO specifying the particular portion of the record desired and the law enforcement activity for which the record is sought;
 - (vi) A person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if, concurrently with such disclosure, notification is transmitted to the last known address of the individual to whom the record pertains;
 - (vii) Either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress, or subcommittee of any such joint committee;
 - (viii) The Comptroller General, or any of his/her authorized representatives, in the course of the performance of the duties of the General Accounting Office; or
 - (ix) A consumer reporting agency in accordance with 31 U.S.C. 3711(e).

(b) Before a record is disclosed to other persons or agencies under paragraph (a)(1) or (2) of this section, the identifying information

specified in Sec. 1720.6 may be required.

Sec. 1720.12 Accounting of disclosures.

(a) OFHEO shall keep an accurate accounting of the date, nature, and purpose of each disclosure of a record, and the name and address of each

person or agency to whom a disclosure was made under Sec. 1720.11, except for disclosures made under Sec. 1720.11(a)(3) or (a)(6)(i).

OFHEO

shall retain such accounting for at least 5 years or the life of the record, whichever is longer, after the disclosure for which the accounting was made.

(b) When a record has been amended, in whole or in part, or when a statement of disagreement has been filed, a copy of the amended record and any statement of disagreement must be provided, and any statement of

explanation may be provided, to all prior and subsequent recipients of the affected record whose identities can be determined pursuant to the disclosure accountings required under paragraph (a) of this section.

Sec. 1720.13 Requests for accounting of disclosures.

(a) Any individual may request an accounting of disclosures of records

about him/her for which an accounting is required to be maintained under

Sec. 1720.12(a) by submitting a written request to the Privacy Act Officer, Office of Federal Housing Enterprise Oversight, 1700 G Street, NW., Fourth Floor, Washington, DC 20552. Before processing the request, the Privacy Act Officer may require that the individual provide the identifying information specified under Sec. 1720.6.

(b) The Privacy Act Officer shall make available the accounting of disclosures required to be maintained under Sec. 1720.12, except for an accounting made under Sec. 1720.11(a)(6)(v).

Sec. 1720.14 Fees.

OFHEO shall not charge any fees for providing a copy of any records, pursuant to a request for access under this part.

Sec. 1720.15 Preservation of records.

OFHEO shall preserve all correspondence relating to the written requests it receives and all records processed pursuant to such requests

under this part, in accordance with the records retention provisions of General Records Schedule 14, Informational Services Records. OFHEO shall

not destroy records that are subject to a pending request for access, amendment, appeal, or lawsuit pursuant to the Privacy Act.

Sec. 1720.16 Rights of parents and legal guardians.

For purposes of this part, a parent of any minor or the legal guardian

of any individual who has been declared to be incompetent due to

physical or mental incapacity or age by a court of competent jurisdiction may act on behalf of the individual.

Sec. 1720.17 Penalties.

The Privacy Act (5 U.S.C. 552a(i)(3)) makes it a misdemeanor, subject to a maximum fine of \$5,000, to knowingly and willfully request or obtain any record concerning an individual from OFHEO under false pretenses.

PART 2003--IMPLEMENTATION OF THE PRIVACY ACT OF 1974

Sec.

- 2003.1 Scope of the part and applicability of other HUD regulations.
- 2003.2 Definitions.
- 2003.3 Requests for records.
- 2003.4 Officials to receive requests and inquiries.
- 2003.5 Initial denial of access to records.
- 2003.6 Disclosure of a record to a person other than the individual to whom it pertains.
- 2003.7 Authority to make law enforcement-related requests for records maintained by other agencies.
- 2003.8 General exemptions.
- 2003.9 Specific exemptions.

Authority: 5 U.S.C. 552a; 5 U.S.C. App. 3 (Inspector General Act of 1978); 42 U.S.C. 3535(d).

Source: 57 FR 62142, Dec. 29, 1992.

Sec. 2003.1 Scope of the part and applicability of other HUD regulations.

(a) General. This part contains the regulations of the Office of Inspector General (''OIG'') implementing the Privacy Act of 1974 (5 U.S.C. 552a). The regulations inform the public that the Inspector General has the responsibility for carrying out the requirements of the Privacy Act and for issuing internal OIG orders and directives in connection with the Privacy Act. These regulations apply to all records that are contained in systems of records maintained by the OIG and that are retrieved by an individual's name or personal identifier.

(b) Applicability of part 16. In addition to these regulations, the provisions of 24 CFR part 16 apply to the OIG, except that appendix A to part 16 is not applicable. The provisions of this part shall govern in the event of any conflict with the provisions of part 16.

Sec. 2003.2 Definitions.

Certain terms used in 24 CFR part 16 have the following meanings for purposes of this part:

Department. The term ''Department,'' as used in 24 CFR part 16, means the OIG for purposes of this part, except that, as used in Sec. 16.1(d), 16.11(b) (1), (3), and (4) and 16.12(e), the term means the Department of Housing and Urban Development.

Privacy Act Officer. The term ''Privacy Act Officer,'' as used in 24

CFR part 16, means the Assistant Inspectors General described in Sec. 2000.5 of this chapter.

Privacy Appeals Officer. The term ``Privacy Appeals Officer,' ' as used in 24 CFR part 16, means the Inspector General for purposes of this part. The Secretary of HUD has delegated to the Inspector General the authority to act as the Privacy Appeals Officer for denials of requests for records maintained by the OIG.

Sec. 2003.3 Requests for records.

(a) A request from an individual for an OIG record about that individual which is not contained in an OIG system of records will be considered to be a Freedom of Information Act (FOIA) request and will be processed under 24 CFR part 2002.

(b) A request from an individual for an OIG record about that individual which is contained in an OIG system of records will be processed under both the Privacy Act and the FOIA in order to ensure maximum access under both statutes. This practice will be undertaken regardless of how an individual characterizes the request.

(1) The procedures for inquiries and requirements for access to records under the Privacy Act are more specifically set forth in 24 CFR part 16, except that appendix A to part 16 does not apply to the OIG.

(2) An individual will not be required to state a reason or otherwise justify his or her request for access to a record.

Sec. 2003.4 Officials to receive requests and inquiries.

Officials to receive requests and inquiries for access to, or correction of, records in OIG systems of records are the Privacy Act Officers described in Sec. 2003.2 of this part. Written requests may be addressed to the appropriate Privacy Act Officer at: Office of Inspector

General, Department of Housing and Urban Development, Washington, DC 20410, or to a particular Regional Office listed in Sec. 2000.6(d) of this chapter, for referral to the appropriate Privacy Act Officer.

Sec. 2003.5 Initial denial of access to records.

(a) Access by an individual to a record about that individual which is contained in an OIG system of records will be denied only upon a determination by the Privacy Act Officer that:

(1) The record was compiled in reasonable anticipation of a civil action or proceeding; or the record is subject to a Privacy Act exemption under Sec. Sec. 2003.8 or 2003.9 of this part; and

(2) The record is also subject to a FOIA exemption under Sec. 2002.21(b) of this chapter.

(b) If a request is partially denied, any portions of the responsive record that can be reasonably segregated will be provided to the individual after deletion of those portions determined to be exempt.

(c) The provisions of 24 CFR 16.6(b) and 16.7, concerning notification of an initial denial of access and administrative review of the initial denial, apply to the OIG, except that:

(1) The final determination of the Inspector General, as Privacy

Appeals Officer for the OIG, will be in writing and will constitute final action of the Department on a request for access to a record in an OIG system of records; and

(2) If the denial of the request is in whole or in part upheld, the final determination of the Inspector General will include notice of the right to judicial review.

Sec. 2003.6 Disclosure of a record to a person other than the individual to whom it pertains.

(a) The OIG may disclose an individual's record to a person other than the individual to whom the record pertains in the following instances:

(1) Upon written request by the individual, including authorization under 24 CFR 16.5(e);

(2) With the prior written consent of the individual;

(3) To a parent or legal guardian of the individual under 5 U.S.C. 552a(h); or

(4) When permitted by the provisions of 5 U.S.C. 552a(b) (1) through (12).

(b) [Reserved].

Sec. 2003.7 Authority to make law enforcement-related requests for records maintained by other agencies.

(a) The Inspector General is authorized by written delegation from the Secretary of HUD and under the Inspector General Act to make written requests under 5 U.S.C. 552a(b)(7) for transfer of records maintained by other agencies which are necessary to carry out an authorized law enforcement activity under the Inspector General Act.

(b) The Inspector General delegates the authority under paragraph (a) of this section to the following OIG officials:

(1) Deputy Inspector General;

(2) Assistant Inspector General for Audit;

(3) Assistant Inspector General for Investigation; and

(4) Assistant Inspector General for Management and Policy.

(c) The officials listed in paragraph (b) of this section may not redelegate the authority described in paragraph (a) of this section.

Sec. 2003.8 General exemptions.

(a) The systems of records entitled ``Investigative Files of the Office of Inspector General,'' ``Hotline Complaint Files of the Office of Inspector General,'' ``Name Indices System of the Office of Inspector General,'' and ``AutoInvestigation of the Office of Inspector General'' consist, in part, of information compiled by the OIG for the purpose of criminal law enforcement investigations. Therefore, to the extent that information in these systems falls within the scope of exemption (j)(2) of the Privacy Act, 5 U.S.C. 552a(j)(2), these systems of records are exempt from the requirements of the following subsections of the Privacy Act, for the reasons stated in paragraphs (a)(1) through (6) of this section.

(1) From subsection (c)(3), because release of an accounting of disclosures to an individual who is the subject of an investigation could reveal the nature and scope of the investigation and could result in the altering or destruction of evidence, improper influencing of witnesses, and other evasive actions that could impede or compromise the investigation.

(2) From subsection (d)(1), because release of investigative records to an individual who is the subject of an investigation could interfere with pending or prospective law enforcement proceedings, constitute an unwarranted invasion of the personal privacy of third parties, reveal the identity of confidential sources, or reveal sensitive investigative techniques and procedures.

(3) From subsection (d)(2), because amendment or correction of investigative records could interfere with pending or prospective law enforcement proceedings, or could impose an impossible administrative and investigative burden by requiring the OIG to continuously retrograde its investigations attempting to resolve questions of accuracy, relevance, timeliness and completeness.

(4) From subsection (e)(1), because it is often impossible to determine relevance or necessity of information in the early stages of an investigation. The value of such information is a question of judgment and timing; what appears relevant and necessary when collected may ultimately be evaluated and viewed as irrelevant and unnecessary to an investigation. In addition, the OIG may obtain information concerning

the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, the OIG should retain this information because it may aid in establishing patterns of unlawful activity and provide leads for other law enforcement agencies. Further, in obtaining evidence during an investigation, information may be provided to the OIG which relates to matters incidental to the main purpose of the investigation but which may be pertinent to the investigative jurisdiction of another agency. Such information cannot readily be identified.

(5) From subsection (e)(2), because in a law enforcement investigation it is usually counterproductive to collect information to the greatest extent practicable directly from the subject thereof. It is not always feasible to rely upon the subject of an investigation as a source for information which may implicate him or her in illegal activities. In addition, collecting information directly from the subject could seriously compromise an investigation by prematurely revealing its nature and scope, or could provide the subject with an opportunity to conceal criminal activities, or intimidate potential sources, in order to avoid apprehension.

(6) From subsection (e)(3), because providing such notice to the subject of an investigation, or to other individual sources, could seriously compromise the investigation by prematurely revealing its nature and scope, or could inhibit cooperation, permit the subject to evade apprehension, or cause interference with undercover activities.

(b) [Reserved].

[57 FR 62142, Dec. 29, 1992, as amended at 65 FR 50904, Aug. 21, 2000]

Sec. 2003.9 Specific exemptions.

(a) The systems of records entitled ``Investigative Files of the Office of Inspector General,'' ``Hotline Complaint Files of the Office of Inspector General,'' ``Name Indices System of the Office of Inspector General,'' and ``AutoInvestigation of the Office of Inspector General'' consist, in part, of investigatory material compiled by the OIG for law enforcement purposes. Therefore, to the extent that information in these systems falls within the coverage of exemption (k)(2) of the Privacy Act, 5 U.S.C. 552a(k)(2), these systems of records are exempt from the requirements of the following subsections of the Privacy Act, for the reasons stated in paragraphs (a) (1) through (4) of this section.

(1) From subsection (c)(3), because release of an accounting of disclosures to an individual who is the subject of an investigation could reveal the nature and scope of the investigation and could result in the altering or destruction of evidence, improper influencing of witnesses, and other evasive actions that could impede or compromise the investigation.

(2) From subsection (d)(1), because release of investigative records to an individual who is the subject of an investigation could interfere with pending or prospective law enforcement proceedings, constitute an unwarranted invasion of the personal privacy of third parties, reveal the identity of confidential sources, or reveal sensitive investigative techniques and procedures.

(3) From subsection (d)(2), because amendment or correction of investigative records could interfere with pending or prospective law enforcement proceedings, or could impose an impossible administrative and investigative burden by requiring the OIG to continuously retrograde its investigations attempting to resolve questions of accuracy, relevance, timeliness and completeness.

(4) From subsection (e)(1), because it is often impossible to determine relevance or necessity of information in the early stages of an investigation. The value of such information is a question of judgment and timing; what appears relevant and necessary when collected may ultimately be evaluated and viewed as irrelevant and unnecessary to an investigation. In addition, the OIG may obtain information concerning the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, the OIG should retain this information because it may aid in establishing patterns of unlawful activity and provide leads for other law enforcement agencies. Further, in obtaining evidence during an investigation, information may be provided to the OIG which relates to matters incidental to the main purpose of the investigation but which may be pertinent to the investigative jurisdiction of another agency. Such information cannot readily be identified.

(b) The systems of records entitled ``Investigative Files of the Office of Inspector General,'' ``Hotline Complaint Files of the Office of Inspector General,'' ``Name Indices System of the Office of Inspector General,'' and ``Autoinvestigation of the Office of Inspector General'' consist in part of investigatory material compiled by the OIG for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or Federal contracts, the release of which

would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence. Therefore, to the extent that information in these systems fall within the coverage of exemption (k)(5) of the Privacy Act, 5 U.S.C. 552a(k)(5), these systems of records are exempt from the requirements of subsection (d)(1), because release would reveal

the identity of a source who furnished information to the Government under an express promise of confidentiality. Revealing the identity of a confidential source could impede future cooperation by sources, and could result in harassment or harm to such sources.

[57 FR 62142, Dec. 29, 1992, as amended at 65 FR 50904, Aug. 21, 2000]